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CORE CONTENT OF THE  
TEACHING OF LARGE SYSTEM CHANGE  
Output of a producing workshop  
MIT Endicott House, Dedham, Massachusetts  
August 1-4, 1977

Richard Beckhard  
WP 1024-78                      October 1978





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## Introduction to Subject Areas

The following pages include a series of subject areas from which one would choose the design or course outline for an educational activity for organization managers, administrators, facilitators, or graduate students. The implicit goal would be to increase their knowledge and skills in managing and facilitating large system change. The various discrete subject areas have been selected based on our judgment that these areas specifically relate to large systems and large systems change. In this listing we have assumed that these to be meaningful, a "student" would need to be previously knowledgeable/skilled around individual, small group, and organization behavior including leadership styles, conflict management, intergroup relations, decision-making, goal setting, and the like. We should emphasize that these outlines are just that. No attempt has been made to standardize the format. They are intended not to be complete class outlines or teaching guides, but rather, to suggest significant areas, ideas, and the subject of ideas, which are involved in a particular subject area. The list in its total should provide a data-base for persons planning some sort of educational activity. It is our contention that the subjects listed here, plus the related knowledge that may be needed, provide a good basis for selecting the specific subjects that will be covered in any such program. The following list represents those subject areas with unique or critical application to large systems change management and facilitation.

## I Systems Concepts

- A. Open Systems Thinking
- B. Organizations as open system
- C. Relationships of organizations and institutions with each other
- D. Interface and boundary management
- E. Open systems planning
- F. The system

## II Complex Organizations - Nature and Diagnosis

- A. Healthy organizations and management strategies
- B. Ways of looking at organizations
- C. Large system dynamics
- D. Organizational diagnosis
- E. Organizational diagnosis and assessment
- F. Diagnostic modes
- G. Organization design - form follows function
- H. Folk theory vis a vis large system
- J. Interface Management

## III Large System Change

- A. Some assumptions about change
- B. Large system change strategies
- C. Specifying the future/understanding the present
- D. Planning for change
- E. Organizational conditions vulnerable to planning change
- F. Transition state
- G. Transition management and overview
- H. Transition management

## IV Power and Politics

- A. The art of politics
- B. Source of power
- C. Orientation to power
- D. Social influence
- E. Conflict mode instrument

## **V Interventions and Intervenors**

- A. Intervention theory and practice
- B. Choosing an intervention
- C. Development of an intervention strategy
- D. Types of intervention
- E. The intervenor
- F. Designing intervention
- G. Social intervention

## **VI Organization Climate; The Nature of Work; Improving Conditions for Humans**

- A. Interventions around a managerial dilemma
- B. Dilemmas
- C. Career planning and development
- D. Management and leadership dilemmas

I.

SYSTEMS CONCEPTS

OPEN SYSTEMS THINKING

\* Borden

I. LEVELS OF SYSTEMS

- (a) The individual and his working or social group.
- (b) The sets of roles, technologies & operational sub-systems within the "bounded system."
- (c) The bounded system and the organizational environment of which is part.
- (d) The organization and its environment of organizations.
- (e) Organizations within the field created by the environment of conscious and unrecognized transactions.

(At this level, there occurs a new order of inter-action which leads to mounting "slag-heaps of collected phenomena" \*which further clutters the environment and develops a "turbulence" \*and uncertainty not found to a significant degree in earlier types of environment.)

At this level the organization also significantly affects the other levels (a) to (d) when they are considered as part of (e).

\* E. L. Trist.

II. TYPES OF ENVIRONMENT

Placid-Random - pre-agricultural primitive societies eg. (today)

small job shops  
general stores  
typing pools  
assembly lines

Placid-Clustered - traditional agricultural and mercantile  
e.g. specialist firms

Disturbed-Reactive- defensively large technocratic bureaucracies  
with strategies of power and competitive challenge.

Turbulent - complexity, uncertainty within and at boundaries of the organization, requiring new forms of inter dependence within and between organizations. \*  
Essential as against optional need to be self-reviewing; with continuous "appræciation" \*\* through planning and decision-making processes as a way of coping with complexity and uncertainty. This kind of thinking & "acting" is necessary both for short and long term

\* Emery and Trist - "Causal Texture of the Environment"

\*\* G. Vickers - "Art of Judgment"

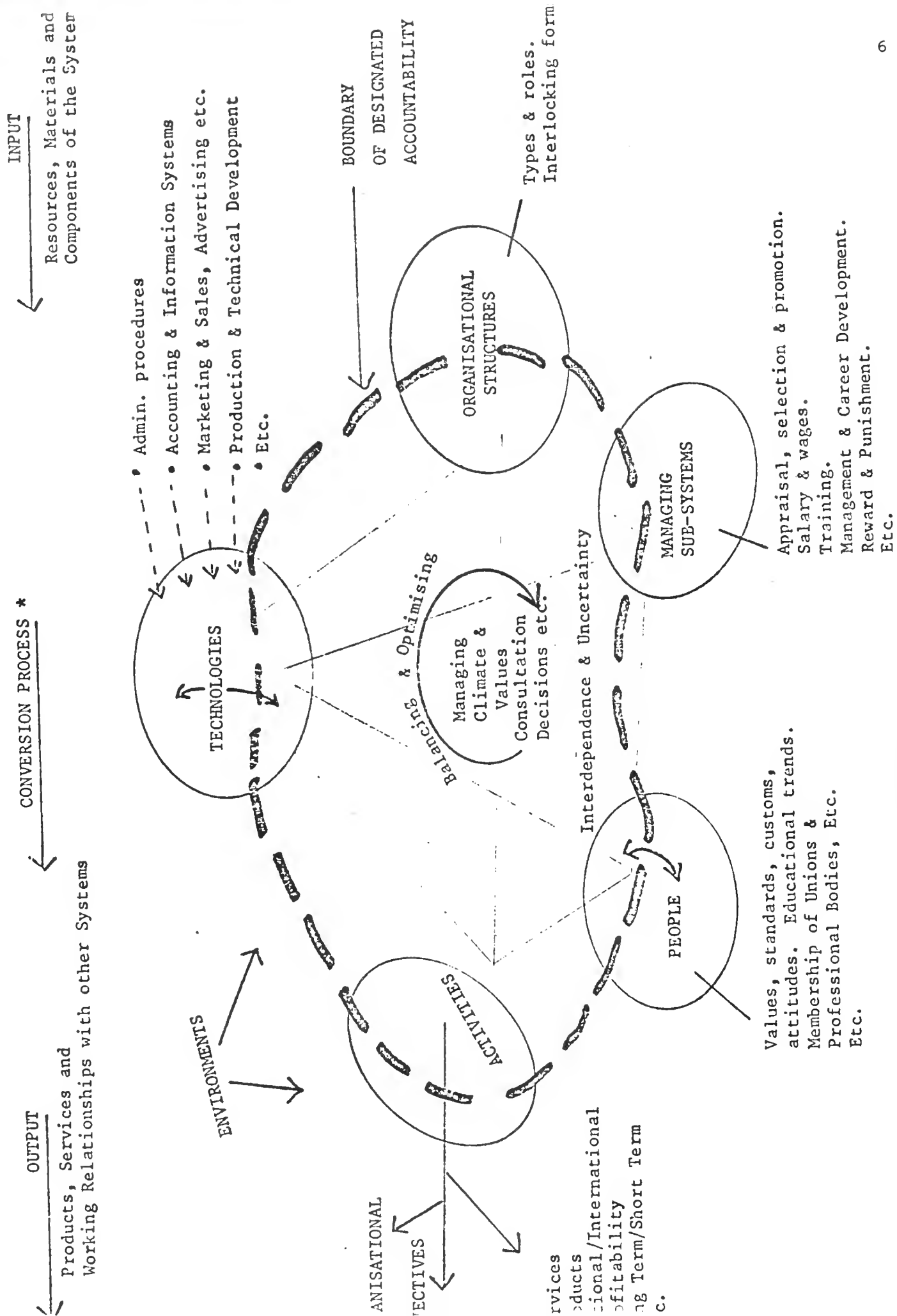


Figure 1: ORGANISATIONS AS SYSTEMS



### III. IMPLICATIONS FOR "TURBULENT" ENVIRONMENT AND SYSTEM LEVEL I (e)

(See Pentagonam Model from I COM H Proceedings (in press))

- (a) Scanning, balancing and optimising system  
"in the round" before considering and deciding on  
the basis of relationships between parts.
- (b) Capability of using multiple frames of reference in two senses - i.e.
  - (i) in handling information sources and the data they produce
  - (ii) "thinking" by individuals & groups which allows for coping  
with multiple frames-which may be diverse, complementary  
or congruent (see IV)
- (c) capability of coping with tension-system created by variances, match/  
mis-match in (b)
- (d) capability of analysing force-fields.
- (e) capability of recognising assumptions and being prepared to examine  
what was done and why. (i.e. system processes)
- (f) capability of balancing and optimising exploration of wider horizons  
(+ curiosity) with the discipline of defining explicit  
and implicit linkages.  
(i.e. timing and acting on planning decision-making  
Process)

### IV LEARNING PROCESSES

Institution as (a) mission-oriented system and  
(b) learning and self-reviewing system.

Problems of coping with (a) & (b) as a total system deriving  
from change in 3 aspects of learning  
from past  $\longrightarrow$  present  $\longrightarrow$  future

- (i) Developmental learning, e.g. changes in personal, family and  
societal values
- (ii) Educational learning e.g. changes from finite data, problems  
and tasks with finite solutions to  
non-finite data etc. and choosing  
between modes & options  
(balancing & optimising)
- (iii) Vocational (occupational learning) - survival & practical out-  
comes of applying (i) & (ii)

V EXAMPLES OF OPEN-SYSTEM THINKING COMPARED WITH CLOSED-SYSTEM THINKING  
AS APPLIED TO SYSTEMS IN TURBULENT ENVIRONMENTS.

<u>Emphasis on</u>	
<u>C.S.T.</u>	<u>O.S.T.</u>
independent executive relations (superior-subordinate emphasis)	consultative relationships (collaborative)
decision-making at discretion of hierarchical structure	decision-making at level where problem or task is relevant.
accountability and responsibility located together	accountability and responsibility may be separate
single accountability	multiple accountability
eliminative conflict	managing conflict
tendency towards mechanistic mode of organization	tendency towards organismic/mechanistic choice of organization mode
hierarchical or external appraisal	self-review
allocation of jobs to people and knowing one's place	joint optimisation in working groups and anxiety about one's identity in group
Euclidean thinking	multiple frames of reference thinking
power rests with those occupying certain roles or status in hierarchy	power rests with those having control over uncertainty

C.S.TO.S.T.

managing within the confines of  
the system

managing at boundary of the system

authority handles creative/destructive  
issues

envy between group members heightened  
and needs to be capable of recognition  
and exploration in group.

(difficulty with equality &  
freedom)

(difficulty with fraternity)

Career & personal development  
dependent on authority

Mobility of careers & boundary crossing  
for occupational development

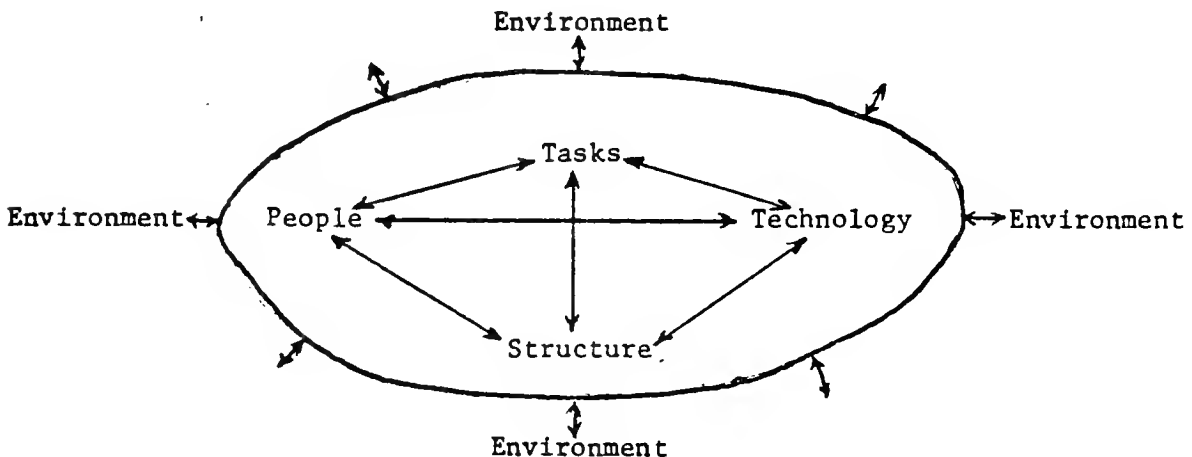
hierarchical assessment

Mutual appraisal and assessment

E T C.

### Organizations as Open Systems

In today's world, every "organization" is an open system, i.e., there exists an active environment surrounding the organization. Both environment and organization are in a constant mutual influence relationship, (see figure).



#### ●View of System (Org):

INPUT      →      TRANSFORMATION PROCESS      →      OUTPUT

- The nature of I-TP-O process is defined in part by system's definition of "system" boundaries
- Effectiveness of process is a function of characteristics of I-TP-O and reaction of environment to I-TP-O process, especially output.
- System can influence input characteristics
- System can control T-P, given inputs
- System can influence output
- System can maybe influence environment's reaction to output

### Nature of Forces Operating on Organization

1. Economic - (e.g., competitors, unions, government, stockholders, inflation, etc)

2. Legal - (e.g., EPA, OSHA, ICC, tariffs, IRS, state and local government, etc.)
3. Culture - (e.g., youth values, consumerism, civil rights movement, ethnicity, nationalism, etc.)
4. Technology - (e.g., computers, knowledge explosion, etc.)

Result is organizational stability (equilibrium) is a problematic condition to achieve/maintain. Types of forces have not changed, only amount and pervasiveness of forces have increased. Issue is coping with forces - coping with uncertainty.

### Uncertainty As A Way of Life

- Open Systems → Uncertainty → Organizational Anxiety
- Open Systems → Dependence → Organizational Anxiety
- Human systems (organizations) have high needs for certainty and positive feedback
- Systems attempt to "protect" selves from unpleasant environmental influences (feedback/inputs). Attempt to move towards "closed" systems (ostrich strategy)
- The nature of the world (complexity/interdependencies) makes organizational futures uncertain, thus as things look like they will continue to become more complex, then uncertainty will become a characteristic of organizational life
- Issues for organizations and management are:
  1. How to cope with uncertainty
  2. How to get comfortable with (accept) uncertainty
  3. How to accurately read environmental signals
  4. How to manage in an uncertain, dynamic, condition

Core role for manager in contemporary complex organization is: to make the best choices about whom to bring together, in which situations, to make what happen, in whose interpretation of the public interest. (H. Cleveland, 1972; paraphrase)

I.C

Relationships of Organizations and Institutions - with each other,  
- with the larger community

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1. Areas and Trends to consider:

- from turfdom and relative isolation of each organization toward interdependence and collaboration
- changes in funding patterns
  - more Federal moneys available for specific programs
  - private philanthropy changing
  - interest and funding by industry increasing
  - requirements for interdependence part of many private and public funders
- membership patterns of large national organizations changing (some no longer relevant)
  - decreasing youth membership
  - increasing emphasis on equal opportunities for males and females
  - active advocacy for women, minorities, the handicapped, the newcomer, the battered person
- participation patterns are changing - clients as decision makers
- organizational models vary greatly, making interface a challenge
- new Federal regulations - affirmative action, equal opportunity, male-female equality, etc.
- burgeoning participation of volunteers in public and private sectors
- intergenerational participation

cont'd

- changing leadership patterns
  - shared leadership
  - temporary leadership
  - the leader as servant

2. Macro System called Community includes the following sectors:

- Welfare: public, private
- Education: public, private, parochial
- Health: mental, physical
- Religion
- Economic: business and industry
- Political
- Mass Media: TV, radio, newspaper
- Public Safety: courts, police, parole, probation
- Culture: art, dance, writing, poetry, museums
- Recreation: public, private

All these must be considered in the interface of organizations and institutions in any geographic community.

3. Subareas to Consider:

- Special Intervention Skills needed with a very diverse client system;
- Need for Consultation and Training Skills on part of the Intervenor;
- Collaborative Skills are a new area to develop;
- Ways to involve broad spectrum of the Community:  
all racial, religious, status, national origin, male, female, all ages, well and handicapped;
- working with establishment as well as cause and advocacy groups;
- use of temporary systems and of temporary leadership patterns;
- need for agreed upon purposes to collaborate around;
- importance of open system theory and practice;
- available examples helpful here (we have a whole chapter on this in our new book);

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A. BASIC CONCEPTS

1. Every organization exists in an environment which can be described as a collection of other organizations, institutions, groups, constituencies, and representatives of certain viewpoints and/or values, including suppliers and consumers of the goods, services and information which the organization uses and produces. (All of these will be called "domains".)
2. In each organization's environment, the domains which are relevant to that organization's functioning (survival, efficiency, direction, image, etc.) are those whose own functioning is affected, or perceived to be affected, by what that organization does and perhaps by how it does it.
3. There is a special category of domain which consists of those who, although minimally affected themselves by what the organization does, act as agents for others who are affected, e.g. Consumer Protection Agency, Right-To-Life organization, EEOC, the headquarters of an international union, most government agencies and bodies, ACLU, etc.
4. Each interface with a domain has a degree of permeability which is determined by the philosophy, perceptions and behavior of both parties, and by the nature of the boundaries at that interface.
  - a. Sometimes permeability is determined by legislation, e.g. whether OSHA inspections can be performed with or without court authorization.
  - b. Sometimes impenetrable boundaries are required by law, e.g. anti-trust legislation.
  - c. The permeability of most interfaces can be modified by the organization to some extent in either direction.
  - d. To assess permeability requires examining what happens officially and what happens informally, e.g. management and union leaders meeting secretly in a bar to share negotiating positions.
5. The boundaries of an organization are established by a wide variety of physical, psychological, social and organizational structures, each of which affects the attitudes and behaviors of organization members and of outsiders at each interface; examples of each follow:
  - a. Physical -
    - fences, entrances, reception spaces, security systems, uniforms.
  - b. Psychological -
    - esprit de corps, public relations techniques, procedures for joining and separating from the organization, rites and ceremonies for members.

## 5. (continued)

## c. Social -

- socio-economic class(es) of members, ethnic and religious preferences, size of the organization, degree of deviancy from the environment's values and norms.

## d. Organizational -

- designated roles or groups to interface with a domain (Legal Department, EEO Officer), policies covering contacts with specific domains, organizational structures (including reporting relationships).

## B. MANAGING INTERFACES

Managing the interfaces of an organization requires deciding how the organization will act vis-a-vis each relevant domain. Some important concepts which influence such decisions are:

### 1. Power balance.

- the relative power of the organization with respect to a domain affects how much freedom the organization has to decide unilaterally how it will behave.
- the organization may develop ways to change the power balance, e.g. lobbying for passage or defeat of proposed legislation, deciding to enter or withdraw from a specific market (which will affect the power balance with a competitor).

### 2. Perceptions of self and others.

- the organization's perceptions of its own strengths, weaknesses and capabilities vs. those of a domain determine its sense of power at that interface.
- the more self-confident the organization is, the more it will consider proactive behavior rather than reactive.
- the less self-confident the organization is, the more likely it is that it will define a domain as an adversary and behave in win-lose rather than collaborative ways towards that domain.
- the organization's philosophy, orientation and values (world-view) will cause it to operate on assumptions about a domain which are congruent with these views whenever sufficient accurate information is not available.
- accurate information about a domain's intentions and capabilities will be discounted or distorted to the extent that the organization fears that domain, or feels powerless towards that domain.

### 3. Organization norms and values.

- the organization generally will insist on its members behaving across interfaces in accordance with its own rules.
- each organization develops its own interpretation of what is legal, ethical and "appropriate" behavior, with possibly different interpretations for different interfaces.
- differences between the norms and values of the organization and those of a domain are likely to reduce the effectiveness of transactions across the interface unless acknowledged and accepted as legitimate.

#### 4. Self-interest.

- relations with each domain develop according to the organization's self-interest vis-a-vis that domain, ranging from submission to cooperation to collaboration to domination.
- internal conflicts and disagreements about an organization's self-interest produce less effective behavior.
- the more alternatives an organization perceives for meeting its goals, the more likely its behavior towards a domain will be flexible, creative and effective.

## C. DESIGNING BOUNDARIES

Managing the boundaries of an organization is essentially designing and re-designing the structures (physical, psychological, social and organizational) which affect the behavior of organization members at all relevant interfaces; sometimes such structures also affect the behavior of non-members but reliable control is usually not possible. Some important concepts in boundary design are:

### 1. Important objectives for boundary design are:

- a. To minimize the cost\* of obtaining inputs the organization needs.
- b. To minimize the possibility that any domain can negatively affect the organization, while minimizing the resources (money, time and human energy) which the organization spends to protect itself from its environment.
- c. To optimize the content and the form of feedback which the organization receives from its customers and other interested domains on its products: their quality, availability, performance, cost and value.
- d. To maximize the organization's health and effectiveness, with the lowest possible cost\* for minimizing detrimental effects from the organization's environment.

### 2. Variables which are fixed by a given boundary design include (but are not limited to):

- the number and status of organization members who are in direct contact with a domain,
- the communication methods which are used for direct contact, e.g. letters signed by the CEO, informal telephone conversations,
- the nature and depth of the expertise of organization members who determine the content and form of information and actions with which the organization interacts with a domain, e.g. do lawyers or scientists interface with E.P.A.?
- the status of an interfacing function, individual or group within the organization, e.g. does the head of the legal department report to the CEO or to an administrative V.P.?, does the congressional liaison function report to (or reside in) the Secretary, the Under-Secretary or an Assistant Secretary in the U. S. Commerce Department?
- the scope, number, amount of detail and degree of enforcement of policies which specify how the organization will interact with a domain, e.g. internal accounting and auditing procedures affect interactions with IRS.

\*cost includes money, time and human energy

## 2. (continued)

- the rewards and punishments which are used to sanction certain behaviors, e.g. promotion of an individual for obtaining Federal funding, firing an individual for accepting kick-backs.
- the internal communications (especially upwards) of information and decisions relative to an interface, e.g. who know about and influences the response to a union grievance, or the failing grade of a Senator's daughter in a state university, or a supplier's cancellation of a contract for raw materials.

D. INTERVENTIONS TO IMPROVE INTERFACES AND BOUNDARIES

A need for change in an interface usually arises because a) a new problem has been created by a domain behaving differently, or b) the organization has decided it wants different results across an interface. For the organization, the initial choice is between changing internally or trying to influence the domain to change or both.

Methods commonly used internally in an organization include:

- 1) knowledge change, by gaining and disseminating new information about the substance of interface transactions, or about the domain itself (its motives, purpose, policies, procedures).
- 2) attitude change, by examining and testing beliefs, assumptions and self-interests which affect the organization's perceptions of itself and of the domain.
- 3) behavior change, by changing policies, procedures, norms and sanctions which affect how organization members behave at the interface.

All of the above can be affected, sometimes more effectively, by structural changes such as hiring an expert, creating or eliminating a role or functional group, etc.

Methods commonly used to influence a domain include:

- 1) knowledge change, by providing more and better information about the substance of interface transactions or about the organization's motives, needs, problems, etc.
- 2) attitude change, by persuading the domain that the organization's viewpoint is relevant and merits accommodation, or by utilizing an agent to do so.
- 3) behavior change, by negotiating new contracts and agreements or by changing the organization's behavior in ways which will force the domain to change its behavior, e.g. going to court.

D. (continued)

Opportunities to change both the organization and one of its domains exist when there is a larger organization of which both are parts. Then structural and process interventions may be useful, including inter-group meetings and organization redesign.

Stanley R. Hinckley, Jr.

6-78

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## OPEN SYSTEMS PLANNING

In planning organizational growth, development, and operations, in the ever-changing environment, it is increasingly important for enterprise managers to be aware and explicit about the demands being made on them today, their typical responses, the trends and demands for the short-term, and the desired state.

One process that has been developed for helping managers in this area is called "open systems planning." It has the following phases.....

Phase One

A definition of the core mission or technology. For example, is the core mission to:

- maximize profits?
- produce socially useful products at a profit?
- provide an environment for people to produce socially useful products at a profit?
- maximize return to stockholders?

Phase Two

Having defined the mission, the next step is to write a "scenario" about the present state of things. To do this one first identifies a series of domains that are making demands on the present system such as:

- economic and social values

- competition
- employees
- stockholders
- international governments
- public image
- media

Then identify what you feel each of these domains is demanding of the enterprise at this moment by responding to the statement "We want you (the enterprise) to....."

#### Phase Three

Having defined the demand system, the present response system must be defined. To each of the demands identified in the previous phase, what is the present pattern or mode of response?

#### Phase Four

Project three or four years ahead and, using the same demand system, predict the likely demands of these various sub-systems on the organization given normal inertia and trends. This is the second scenario -- the projected future.

#### Phase Five

The desired or ideal scenario: One looks at the same set of domains and answers the question "What would we like each domain to be asking of us?" at the same point in time as just predicted in the previous step (example, three years). To illustrate, one might say: "In a desired or idealized state, we would like the government to be demanding of us 'Keep producing useful goods that

don't pollute the environment and regulate them yourselves. We want no part of regulation.'"

### Phase Six

Having defined the desired demand system, make a list of activities that would have to be developed in order to get these desired questions asked. If one asked the governmental question in the illustration above, one would have to engage in many activities including mobilization of more industry, industry-wide quality control committees, etc.

\*\*\*\*\*

It must be emphasized that this is a process, not a panacea, but it can help enterprise managers look more realistically and more analytically at the relationship of the present set of conditions to the probable extension of those conditions and to their possible modification.

## II. THE SYSTEM

III  
I - 15

26

### A. DEFINING "SYSTEM" BOUNDARIES

1. System can be defined or "bounded" in a number of ways
  - people, activities/tasks, values, structures
2. Boundary definitions are PERCEPTUAL
  - Thus, variable and "source" defined
  - May be related to source's ability to handle complexity
  - Variances in boundary definition predictive of organizational conflict and coordination problems
3. Definition of system--who and what is included or excluded--is critical determinant of subsystem behavior
4. Boundary definition determines psychological/social dynamics of organization-environment interactions
  - e.g. if employees included in definition of organization, cultural values more likely internal
  - If stockholders, employees, customers, and management included then problem-solving more likely collaborative than destructive conflictful/adversary.
5. As system (formal organization) gets complex, "boundary" definition becomes more varied across organization
6. Subsystem connectedness elastic rather than rigid:  
e.g., rubber bands hold subsystems together, not glue
7. Boundaries have variable permeability
  - Some "protected," some "unprotected"
  - Some clear, some blurred

### READINGS:

Clark and Krone  
Perceptual Set  
Steiner, G.  
Starbuck--Handbook of I/O

## II.

COMPLEX ORGANIZATIONS

NATURE AND DIAGNOSIS

## "HEALTHY" ORGANIZATIONS AND MANAGERIAL STRATEGIES

by Richard Beckhard

11  
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- I. The core problem of the executive manager in a complex organization, is to make the best choices around whom to bring together, in which organizations, to make what happen, in whose interpretation of the public interest. (Harlan, The Future Executive, Cleveland: Harper & Row, 1972)
  - A. In order to make these "best choices" the executive needs a mix of knowledge, personal attitudes, values and skills, and the capacity to utilize all these in a synergistic way as he makes the million and one personal decisions, which are the heart of complex organization management.
  - B. Classes of knowledge which are essential are:
    1. Knowledge of people, their motivational systems - what makes them tick.
    2. Knowledge of organizations as social systems - what makes them effective, able to achieve.
    3. Knowledge of the environment surrounding the organization - the systems that impinge and make demands of it.
    4. Knowledge about managerial styles and their effects on work.
    5. Knowledge of one's own personal managerial style and tendencies.
    6. Knowledge of organizational processes
      - a. decision making
      - b. planning
      - c. control

d. communications

29

e. conflict management

f. reward systems.

7. Knowledge about the change process.

8. Knowledge about educational methods and theory.

C. Some attitudinal characteristics of effective executives are:

1. A high degree of self-awareness - knowledge of self.

2. A high tolerance for ambiguity and complexity.

3. High willingness to take risks and live with the consequences.

4. Enjoyment in the internalized rewards of effective work - low need for public approbation.

5. Something of an intellectual by both training & temperament.

6. A soft voice - low key manner; standing at attention is going out.

7. A tendency away from black-white; right-wrong attitudes.

8. High ability to listen as well as talk to receive consultation.

9. A strong penchant toward optimism.

10. A capacity to accept conflict and enjoyment in managing it.

D. Some skills which are found in effective executives are:

1. Skills in analyzing large complex systems.

2. Skills in collecting and processing large amounts of information, and simplifying it for action.

3. Skills in planning and goal setting.

4. Skills in getting consensual decisions.

5. Skills in conflict management.

6. Skills in empathy - getting into other peoples' heads.

7. Skills in political behavior.

8. Skills in public relations.

9. Skills in training and teaching.

30

10. Skills in consulting and counseling.

II. A healthy (effective) organization has some characteristics which tend to apply regardless of the organizational setting.

A. It tends to be purposeful and goal directed. The leadership of the organization, the heads of functions and programs, individual units and people have, in addition to day to day interests, some relatively explicit goals and directions toward which they are working.

B. Form follows function. The organization chart, the ways work is organized and resources allocated, the location of decision points, are defined by the work requirements, not by the authority or power requirements. Power is widely dispersed and differentiated from (official) authority.

C. Decisions are made based on location(s) of information rather than roles in the hierarchy.

D. The reward system(s) are related to the work to be done - attention is paid to intrinsic as well as extrinsic rewards e.g. the lower paid pediatrician's work is no less valued than the higher paid surgeon's work.

E. Communication is relatively open. The norms or ground rules of this system reward differences of opinion on ideas, solutions to problems, goals, etc., regardless of the authority relationship of the "differers".

F. Inappropriate competition is minimized; collaboration is rewarded where it is in the organization's best interests.

G. Conflict is managed - not suppressed or avoided. The management of conflicts over ideas, work, etc., is seen as an essential part of every-



one's job.

H. The organization is seen as an open system, embedded in a complex environment, the parts of which are constantly making demands. The management of this complex of demands is a major part of the executive job.

I. There is a conscious effort on the part of management to support each individual's identity, integrity, and freedom. Work and rewards are organized to maintain these.

J. There is an "action research" mode of management. The organization sees itself as always "in process" - needing to have mechanisms for collecting information of the state of things and consciously planning improvements. There are built in "feedback mechanisms" (how are we doing?) at all levels.

The way an organization actually functions is, in critically significant ways, a result of the "Managerial Strategy", of those at the top or at the center of the organization. This is observable behaviorally, by looking at the way human and other resources are allocated; where power is located; the structures for influence that are in place, and the systems of information control that are operating.

A. A "Managerial Strategy" is a function of two sets of forces: environmental demands on the executive manager; and his personal managerial style.

B. For the strategy to relate effectively to the environmental demands the manager needs:

1. A clear picture of the current environmental conditions and demands.

2. A clear picture of his organization's present response pattern.
3. Some picture of the likely effects of continuing the present pattern, and an evaluation of these.
4. A general picture of an "ideal state" or desired environment.
5. A relatively clear picture of the activities and priorities of activities that would have to be undertaken to achieve the desired state.
6. A knowledge of the "costs" of these activities in order to determine cost effectiveness.

C. To relate a managerial strategy to a personal style the manager must:

1. Be aware of his own style and its likely consequences in his organization.
2. Be able to compare it to other styles and their consequences, as background for making appropriate choices in his day to day behavior.

#### Managerial Styles

A. An individual's managerial style tends to be a function of his assumptions (beliefs, values) about:

1. The nature of human nature.
2. The nature of organizations
3. The nature of management.

B. A look at "traditional" assumptions and "emerging" assumptions about these three states, and the implications of these assumptions for managerial behavior, can be helpful to the executive manager in making the choices each person must make in his own personal functioning.

III  
11  
B

# WAYS OF LOOKING AT ORGANIZATIONS AND THE ROLE WE PLAY IN THEM

## I. An Organization as such does not exist.

It is a method for organizing people to do work toward some shared objectives.

## II. People who are organized exhibit certain structural characteristics, which can be observed at any point in time.

### A. Work structure

Certain behaviors are expected from individuals and groups. These make up roles or positions. Board members, Headquarters staff, Regional staff, volunteers with local council are all expected to perform certain functions, and expect certain behaviors from others in turn.

### B. Communication structure

To get work done, information has to pass between some persons and groups, but not necessarily between others.

### C. Authority structure

Who can make decisions? There must be clear agreements on who is authorized to take specific kinds of actions involving other people. The Board is authorized to make policy decisions binding the behavior of others. Local councils are authorized to make certain decisions concerning the behavior of their own units.

### D. Power structure

Power is influence--it may be legitimate and "authorized" as above, or "illegitimate". In some offices a stenographer might have a great deal of power, since she knows people's whereabouts and has access to most of the information which her boss sees. Power and influence thus stem from the degree to which a person or group can block or aid the goal-achievement of others.

### E. Status structure

Any organization involves differences in prestige accorded to its different members. Who is listened to with most deference? Which people seem to have special privileges, rights or immunities?

### F. Informal Friendship structure

Who eats lunch together? Who confide in each other during a break in a committee meeting? Informal relationships often supply more direct and casual ways of doing things than "going through channels" implies.

DEFINITION : LARGE SYSTEM

an organization or institution with multiple work groups doing both independent and interdependent tasks. It is characterized by differentiated tasks and a need for integration of some of them.

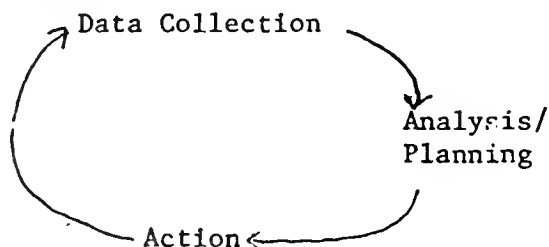
COMPLEXITY, NOT SIZE is the critical distinction.

DEFINITION : LARGE SYSTEM CHANGE STRATEGY:

A Plan for what interventions to make where, by whom, at what time, in order to move the system to a state where it optimally transforms needs into results, in a social environment that nurtures people's worth and dignity.

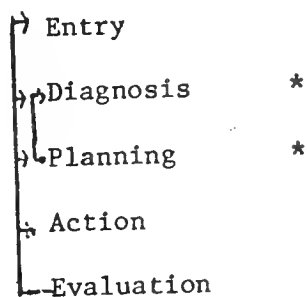
TARGETS OF CHANGE

1. Relationship of Organization to its Environment
2. Managerial Strategy
3. Organizational Structure
4. Way the Work is Done
5. Rewards and Reward Systems

PROCESS OF INTERVENTIONACTION RESEARCH

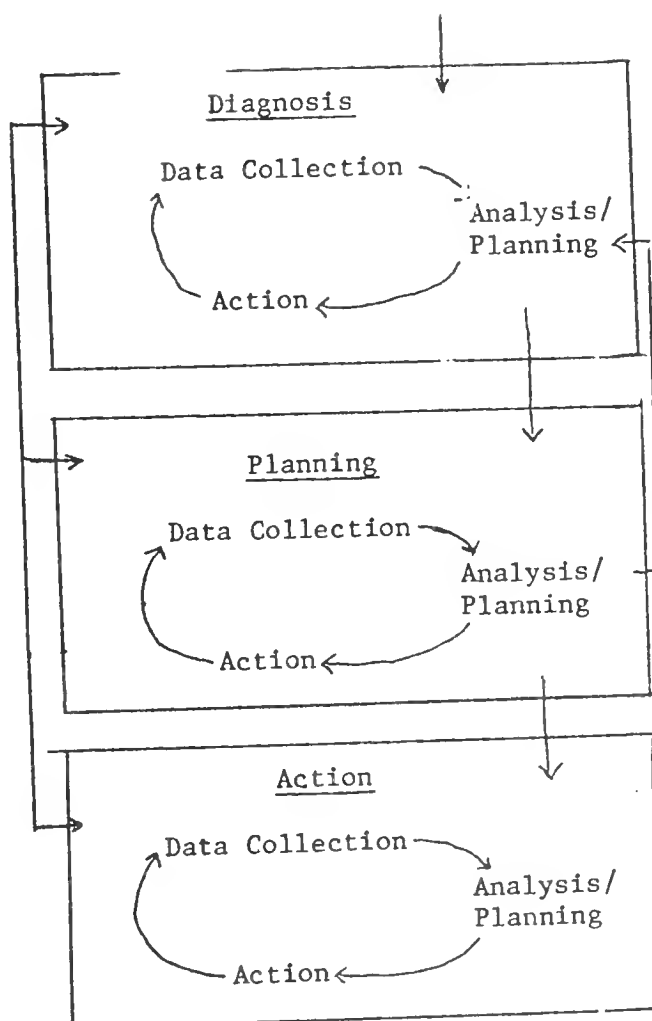
# Consulting Process

Scouting



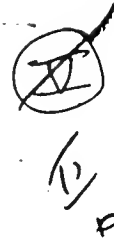
Termination

## PROCESS OF INTERVENTION



CTION STEPS OF SPECIAL EMPHASIS

- Diagnosis
- Commitment Plan
- Process of Plan - Transition Mgmt.
- Choosing Early Interventions
- Evaluation



## Organizational Diagnosis

### Purpose of Diagnosis:

To provide information, hopefully valid, which can contribute to more informed planning and action steps toward achieving the desired end.

### Diagnosis for What? Provide information about what?

1. Internal dynamics of the target system
2. Individual perception, attitudes towards, and behaviors related to specific organizational policies or dimensions
3. Levels of current and potential performance - individual, groups, organizational
4. Resources available and/or resources required (financial, human, technical, etc)
5. Description of the characteristics of the system
6. Etc.

This list is intended to exemplify the types of information which might be required. The list could go on for pages. The important thing is that the information to be gathered is required to effectively "work" the issue(s) at hand and will contribute to the quality of the result.

### Developing a Diagnosis Plan

1. Identifying the issue(s), problem(s), goal(s) and reaching agreement on the issue to be worked
2. Identifying the information and resources required to effectively "work" the issue
3. Prioritizing information using nature of issue as criteria
4. Inventory of those information/resources
  - a. which are already available and where
  - b. what must be gathered
5. Analyzing appropriateness of "available information"
6. Identifying sources of "still needed" informations
7. Reviewing and analyzing alternative methods of data gathering
  - a. validity
  - b. economics
  - c. time
  - d. legal
  - e. expertise
8. Defining an analysis strategy

9. Design data collection plan (who will do what, when, where and how)
  - a. sample selection
  - b. economics
  - c. scheduling
  - d. informing sources
  - e. securing resources
  - f. method of data collection selection
  - g. follow-up, if necessary
10. Implement plan
11. Analyze and compile data

#### Alternative Methods and Techniques for DataCollection

1. Questionnaire
2. Interviewing
3. Observation
4. Archives and records
5. Sensing Sessions
6. Collages, Drawings
7. Physical representation of organizations

#### Priority Issues in Diagnosis

1. Validity of Data
2. Cost of collecting data
3. Cost of doing without the data
4. Time constraints
5. Commitment to using the data
6. Ethical Questions
7. Data for what purpose

#### Suggested Readings on Organizational Diagnosis

- |                     |  |              |
|---------------------|--|--------------|
| 1. Fordyce and Weil | <u>Managing with People</u>  | pp. 137-156  |
| 2. Mahler           | <u>Diagnostic Studies</u> , (Addison-Wesley, 1974)                             | [whole book] |
| 3. Steele           | <u>Consulting for Organizational Change</u>                                    |              |
|                     | (U. of Mass Press, 1975)   | pp.139-189   |
|                     | [Role of consultant in diagnosis and consultant as data collection instrument] |              |



1. What's the relationship between diagnosis and assessment?

a. Diagnosis usually means specifying the gap between "what is" and "what ought to be." Not "data."

b. Diagnosis means assigning value to data--making a judgment about the future. Gaps can only be specified based on what the viewer (manager, student, consultant) considers important.

c. Assessment implies measuring performance. I'm not sure a useful distinction can be made from diagnosis. If pushed, I'd say assessment is the statement, based on actual data, about "what is." It also seems to me a statement of the assessor's values. Certainly the term can be stretched to mean judging how far towards "what ought to be" we have actually moved at any moment in time.

2. What is the purpose of diagnosis in large systems change?

a. To establish a vision of the future, the desirable future, against which present actions can be judged. Without diagnostic statements, it's impossible rationally to defend any present management activity. The critical diagnostic question ~~will~~ will always be--"Change towards what?"

b. To build a common vocabulary with people in the system. Otherwise, misunderstandings will proliferate.

c. To set priorities for action, experimentation, etc.

3. What categories of information are useful in diagnosis?

a. Possibilities are infinite.

b. Categories will be determined by (1) your values about what makes organizations hum, and (2) your cognitive map (mental picture) of the system, its parts, and how they fit together.

c. The major limitation on mental pictures is human cognitive limits--we can't hold many categories in our heads simultaneously. Thus--the most comprehensive model may not be the most useful.

d. The most useful model(s) will be those which deal with issues equally relevant to all large systems. This is easy to say, hard to devise.

4. What are some diagnostic categories common to all systems?

a. Nature of environment--fast or slow to change; certain or uncertain; much reliable data, little or ~~unreliable~~ data; easy-to-measure output or hard-to-measure output...

b. Nature of output--concrete, observable (products, eg. dog food) or abstract, not visible (e.g. mental health services)

c. Degree of interdependence required--Must units of system work together to produce desired output, or is system ~~is~~ "loosely-coupled" (Wieck's term)?

d. Division of labor required--Can you tell whether functional specialization, or project teams, or a mix of both ("matri~~x~~") is the best way to do the required work?

e. Purposes--Systems have goals, even when they're not ~~obvious~~. A diagnosis cannot help much without an examination of purposes, their relevance to the environment, their utility in setting priorities, and their acceptance by organization members.

Note: People cannot be "committed" to purposes they don't understand--at least not consciously.

f. Rewards--All systems reward certain behavior and punish other ~~behavior~~ behavior. A large system diagnosis should ~~focus~~ focus on rewards--both formal and informal--by which the system creates incentives to do needed work, or the way in which appropriate behavior is inadvertently punished (e.g. ridiculing error) promoting successful technicians to managerial jobs they can't perform, etc.)

g. Leadership--How do people in ~~the~~ authority use their power? Is it in ways consistent with systems performance?

h. Relationships--especially management of conflict, which in large systems can be translated as "coordination," or "integration." Important issue where diagnosis reveals that

- (1) two or more units must work together, and
- (2) they are not performing very well, and
- (3) they avoid confronting differences, or one forces solutions on the other.
- (4) there is a bad "fit" between capabilities of people and capabilities of machinery (e.g. Trist's socio-technical systems idea).

NOTE: Any one of the above categories could be looked at in depth, triggering hundreds of questions. However, a quick scan of all issues often will reveal major system discrepancies, as well as major strengths--the two ingredients of successful change strategies. E.g.--futile to work on interpersonal processes in a goal-less system--at least from standpoint of systems change.

## 3 - Diagnosis and assessment

Weisbord

5. How do you do a diagnosis?

- a. Ask questions of (1) people in the system  
(2) the system's customers, clients, consumers
- b. Read ~~written~~ <sup>written</sup> documents
- c. Observe what people do
- d. Use formal surveys (but watch out for survey's assumptions, which are a statement of the designer's values)

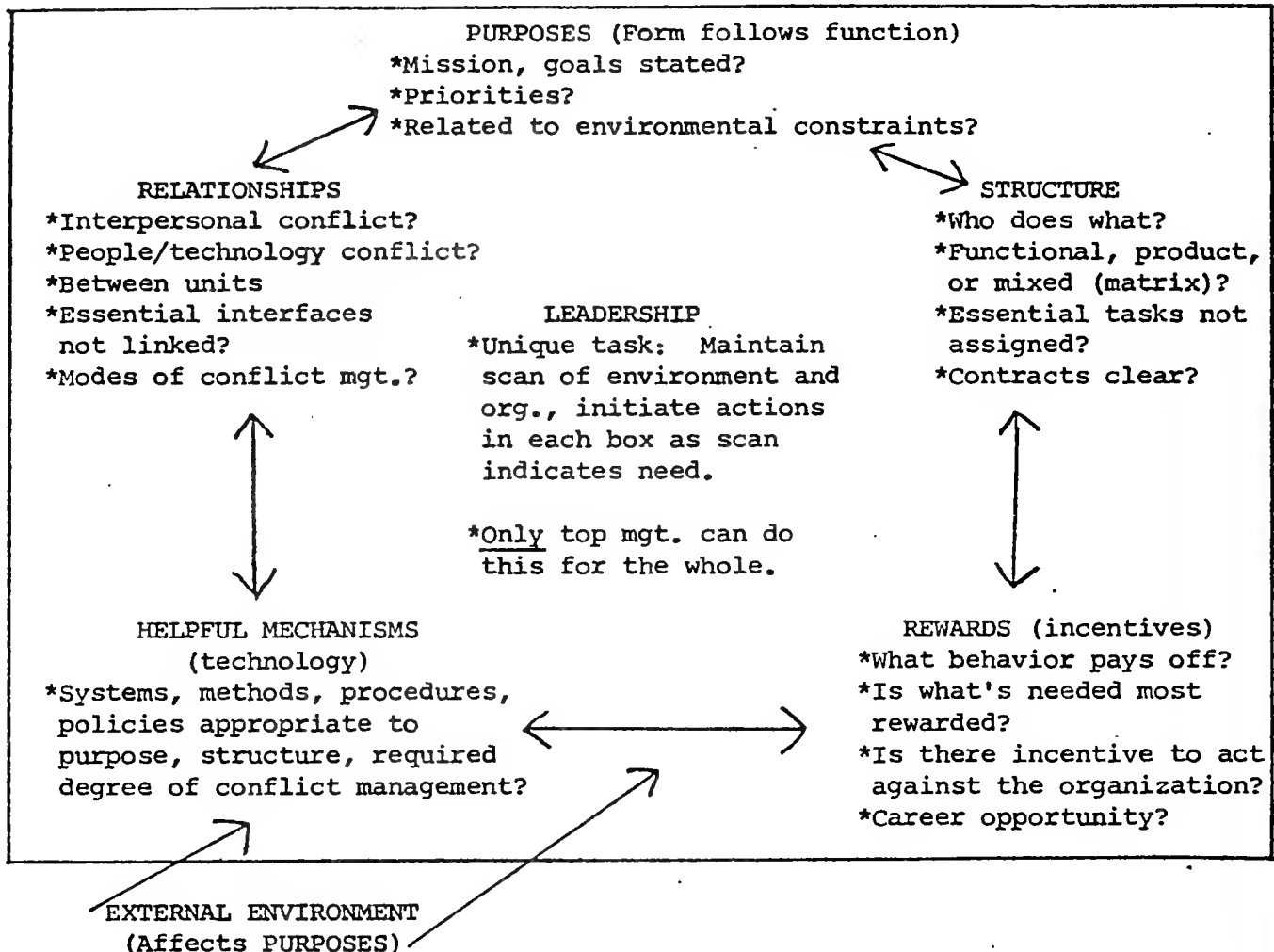
6. What do you do with diagnostic data?

- a. Add it up, and see what you conclude about system's functioning, and/or
- b. Help those who ~~must~~ <sup>must</sup> act on data (if change is to ~~take~~ <sup>take</sup> place) to add it up and see what they conclude.
- c. The more you do alone--without those who must act--the ~~more~~ <sup>more</sup> ~~time~~ <sup>time</sup> you must allow for others to catch up to your thinking.
- d. The concept of data feedback and decision-to-act is critical to anybody attempting to use diagnosis as a large systems change tool, rather than as a methodology for understanding and writing reports.
- d. If facilitating change is the diagnoser's goal, then learning how to confront individuals and groups with choices -is a critical skill, different from learning how to make incisive or correct analyses.

## 7. When is a diagnosis over?

- a. When people decide ~~to~~ <sup>to</sup> act or not to act.
- b. However, a diagnosis is a snapshot, one frame of a movie. To be of continuing value, the snapshot must be taken periodically, either on a regular cycle, or whenever major changes inside or outside the ~~system~~ <sup>system</sup> cause disruption, confusion, uncertainty.
- c. Regular, planned, ~~large~~ <sup>large</sup> diagnostic assessment can be a valuable management procedure in all systems, ~~large and small~~ <sup>large and small</sup>--if managers value it and know how to act on it.

A way of thinking about critical relationships in an organization, and how they fit together.



NOTE: Model can be seen as a radar screen. Organizational problems appear as "blips" of varying intensity. It is management's unending task to scan, assure balance among the boxes, identify and close gaps between "what is" and "what ought to be," between "what is produced," and "what should be produced." Leadership is responsible for providing a mechanism to maintain the scan.

Moreover, closing a gap always requires the use of some helpful mechanism. Unless a mechanism exists or can be created, nothing is likely to happen.

Diagnostic tip: Identify the "missing pieces" in each box.

Consultation tip: Help client own up to lacks, create and commit to mechanisms which would improve things.

1. The chart summarizes relationships among PURPOSES, STRUCTURE, RELATIONSHIPS, REWARDS, HELPFUL MECHANISMS, LEADERSHIP, ENVIRONMENTAL DEMANDS.
2. It is assumed that PURPOSES will be related to ENVIRONMENTAL DEMANDS. That is, an organization's priorities should be based on what it must do to fulfill its mission at this time in this place.
3. STRUCTURE will be based on PURPOSES. In organizations, as in architecture, form follows function. For example, functional (or departmental) organization is a strong structure for developing in-depth special competence. It is much less effective in carrying out integrative projects. By contrast, a product (or program, or project) organization is strong at coordinating around special purposes, and pays for this through less in-depth specialized capability (i.e. production, sales, etc.).

Historically, organizations have reorganized periodically in one or the other mode as environment, technologies, and strategies changed. Where both capabilities are equally important, organizations (i.e. aerospace industry, medical schools) have gone to a matrix. This requires sophisticated conflict management.

4. RELATIONSHIPS refers primarily to the way units are coordinated. This is another way of saying "conflict management", for the critical problem in coordinating differentiated activities is managing inevitable conflict between them. The more complex (i.e. matrix-like) the required structure, the more conflict management becomes a critical requirement for effective organization.
5. REWARDS help or inhibit the "fit" between individuals and organizational goals. Ideally, there should be incentives (promotion, achievement, money, etc.) for people to do what most needs doing. In practice, reward systems sometimes work against the organization's best interest (i.e. piecework incentive plans sometimes have this unintended consequences; or, in medicine, academic promotion may hinge on research, though medical center is under pressure to teach and serve patients).
6. Cutting across all four issues - PURPOSES, STRUCTURE, RELATIONSHIPS, REWARDS - is the notion of HELPFUL MECHANISMS. These are procedures, policies, systems, forms, committees, agendas, etc., which contribute to appropriate PURPOSES, STRUCTURE, RELATIONSHIPS, also, REWARDS. An effective organization continually revises its mechanisms, eliminating some, adding others, as the need arises. Whenever a "gap" between what is and what ought to be is identified, it is often discovered that no present mechanism exists to close it. Hence, the creation of new mechanisms is central to the identification and closing of gaps.
7. Only LEADERSHIP can scan the entire environment and act on behalf of the whole. This is the appropriate role for top administration - to keep the entire organization in balance, continually creating mechanisms to articulate PURPOSES (and change them as the environment changes), alter STRUCTURE, provide for appropriate RELATIONSHIPS and REWARDS.
8. The model provides a vocabulary and way of thinking about these issues.

## ORGANIZATION DESIGN

### "Form Follows Function"

I. Increasing complexity of environmental demands, technology, and work tasks require more differentiation of ways of doing work within the same organization.

A. Lawrence - Lorsch concept: Differentiation - Integration

1. variations in task predictability require differentiation

2. each subtask should be organized to optimize its performance

3. differing organizations then need integration

4. the parts of subsystems of the organization should be organized to optimize their interface with the outside environment

example: emergency room staff - a dynamic environment

community primary care center - ambiguous environment

tertiary care organization - relatively predictable

5. after differentiating the sub-parts then develop means of integrating work and information across systems

II. Information Processing Concept

A. There should always be more information processing capacity than information to be processed

III. Integrating Mechanisms

A. Rules/programs

B. Hierarchy

C. Planning structures

D. Slack resources

E. Vertical information system



#### F. Lateral Relationships

1. Direct Contact
2. Liaison roles
3. Integrating roles
4. Task forces
5. Teams
6. Integrating departments
7. Matrix organizations
8. Mixed organizations

#### IV. Organization Forms

- A. Functional - Goal technical excellence
- B. Project, mission, program: control over specified objective, cost, etc.
- C. Matrix - Both sets of purposes
- D. Mixed - Some functional - project - matrix

#### V. Matrix Organizations

- A. Conditions required
  1. Two differentiated types of task related organizations requiring same resources (technical - functional / program - project)
  2. Relatively distinct programs
- B. Conditions in the system
  1. Tolerance for some ambiguity
  2. People willing to have two bosses
  3. Clear goals for differing tasks
  4. Explicit discussion of responsibility
- C. Behavioral Consequences
  1. Multiple loyalties
  2. Role conflict
  3. Clear goals for differing tasks



4. Rewards for what

5. Confusion around decision making

#### VI. Responsibility Charting

A. Those involved in matrix need to define under what conditions who is a performer (prime responsibility) and who is a supporter.

B. Need to clarify around different tasks: who has

1. responsibility

2. approval - right to veto

3. support responsibility - must provide resources

4. information needs



Oct 23 5

## RESPONSIBILITY CHART

Responsibility  
Approval  
Support  
Information

ROLE THEORY VIS A VIS TO "LARGE" SYSTEMS

1. Every role has a multitude of interface roles which have expectations of role-holder behaviors, attitudes and values.
2. Every role has opportunities for the person to shape the role to mesh with personal preferences, values and satisfactions.
  - a. The extent of personal opportunities to shape a given role are a function of the person's credibility, expertise and abilities.
3. Every role has a certain status in the system which may be enhanced or diminished by the behavior of the role-holder.
4. Every role has control over the dissemination or withholding of information which comes to the role-holder.
5. Every role has one or more constituencies from which it gains validity & power. more or less well.
6. Every role is surrounded by other role-holders who make decisions about what information to share, what to withhold and what to distort (and how).
7. Every role experiences conflict with other roles from time to time, which are either resolved or tolerated to the benefit or detriment of the role's power, influence, and effectiveness to influence others' perceptions of and feelings about the role-holder's performance and alignment with the others' needs and values.
8. Every role has control over some resources, and this control is exercised in ways seen as appropriate or inappropriate (to some degree) by the interfacing roles.
9. Every role belongs in both the formal and informal systems, and the role-holder must pay attention to the quality of relationships in both systems.
10. Every role which is not totally new, has a history which affects current expectations and norms of behavior of the role-holder.
11. Every role is constrained to some extent by policies, legislation and boundaries which are changing.
12. Every role includes a component of diagnosing, anticipating and predicting changes in the demand system surrounding the role which will affect the role.
13. Every role-holder will resist changes in the role to the extent that the change is perceived as reducing the power, freedom, status or satisfaction the person experiences in the role.
14. Any change in the system may affect one or more characteristics of a role, its interfaces and relationships and its occupant.



by

Richard Beckhard

- I. Organizational complexity produces more problems at interfaces.
- II. Usual methods of resolving ambiguity or conflict are:
  - A. Clarifying roles/job descriptions
  - B. Mediation by boss
  - C. Using staff specialists as integrators
- III. Conditions for reducing ambiguity
  - A. Interfaces should be identified explicitly
  - B. Types of appropriate behavior by each role toward each class of task or decision should be identified
  - C. Role incumbents should participate in developing this information
  - D. Rewards/penalties should be specific
- IV. Responsibility charting is a mechanism for reducing ambiguity.
  - A. Problem/task defines how people should behave
- V. Assumptions in responsibility charting
  - A. Work optimization leads toward role clarification
  - B. Roles have different appropriate behavior around different problems
  - C. Appropriate behavior cannot be determined solely in role or position terms
  - D. Role incumbents and/or their leaders should develop a consensus around appropriate behaviors toward different tasks/decisions



Interface Management  
Page 2

- E. Appropriate behavior should be defined for all "actors" potentially involved
- F. A consensus produces an operating practice
- G. It is easier to test deviation from a procedure or practice than from perceptions of a leadership style
- H. A "do-it-yourself" mechanism
- I. It has a team building component
- J. The process helps to establish ongoing communication laterally and vertically

### III.

#### LARGE SYSTEM CHANGE

Richard Beckhard

D

SOME ASSUMPTIONS ABOUT CHANGE IN ORGANIZATIONSABOUT INDIVIDUALS

1. Most individuals wish to grow and develop.
2. Most individuals want their organization to succeed.
3. Most individuals tend to be resistant to change particularly if goals or means toward them are unclear.
4. Most individuals need reference groups in an organization.
5. The peer group usually is a primary reference group.
6. Individuals tend to support change more if they have participated in planning change.
7. Individuals can learn to improve their diagnostic skills to better analyze a situation and plan its change.
8. Most individuals in hierarchal organizations have learned to resist, avoid, or suppress confrontation and management of conflict.
9. Individuals have membership in several groups (i.e., subordinate, head of a work family, colleague group, etc.). Therefore effective work performance requires effective leadership and membership skills.

ABOUT ORGANIZATION SYSTEMS

1. The larger organization system is composed of a series of overlapping work groups connected by linking pins.
  - The basic unit of change in an organization is usually a face-to-face group.
2. Any change in a sub-system is likely to affect the whole system.
3. A particular aspect of a system (i.e., morale, quality of communication, etc.) is in a quasi-stationary equilibrium held there by opposing forces.
4. Most hierarchal organizations have norms of relatively low openness due to a low level of trust.
5. Most organizations have norms of suppressing, avoiding, or compromising conflict within work groups and between groups.

ABOUT CHANGE EFFORTS

1. Every change effort involves changed attitudes. Attitudes must be unfrozen, new ones learned, and refreezing achieved.
2. A basic change is to create conditions where those affected by the change can systematically and meaningfully plan it and carry it out.

3. Work families or peer groups make natural learning groups.
4. Relationships, interpersonal communications, and values are matters on which working groups should spend some work time.
5. A universal target of change is to help people diagnose their own acts and learn from them.
6. Any organization change effort must have goals that are meaningful to those who will be affected by the change.
7. To change a sub-system, relevant aspects of the environment must also be changed.

Examples:

- a. Supervisor's attitudes toward subordinates learning at a training program
- b. President's attitude toward management development
8. The place to begin a change effort is where stress or strain or an identified problem exists -- not necessarily at some arbitrary point in the hierarchy.
9. If basic structural changes are contemplated, change should start at the policy-making level.
10. Both the formal and informal organizations should be considered.
11. Systematic information collection, feedback, and action planning by the system to be changed, closely related in time, help the implementation of change efforts.
12. Change of norms toward more openness is an early priority.
13. Norm changes in the early stages of an "improvement program" can usually best be accomplished through an "objective mediator" or catalyst.
  - He provides support so that individuals are more likely to take some interpersonal risks.

SOME ASSUMPTIONS ABOUT CHANGE AGENTS

1. A personal relationship of trust and mutual confidence must be established with each "client" as early as possible.
2. He must deal with the dependency relationship usually existing in a helping relationship.
3. He must concentrate on diagnosis of the problem and avoid the temptations of early solutions.
4. He must control his own needs to control the situation or the client.



5. He must avoid
  - defending
  - advising
  - premature persuasion
  - over-controlling
6. The change agent must build in plans for stabilizing and maintaining change without undue dependence on him.



~~21~~  
B 16

I. In planning a large system change, it is essential to:

- A. Have some idea of intermediate goal or organization condition
- B. Have a clear picture of where organization is now--both in relation to effectiveness and to its environments
- C. Have improvement priorities identified

II. Given these conditions, organization diagnoses will identify:

- A. Systems needing intervention
- B. Readiness of those systems to change

III. Change strategy should include:

- A. A plan for active steps or the substance of the change
- B. A plan for commitment of critical people and/or groups
- C. A plan for managing the transition state
- D. A plan for managing a new state--
  - a. feedback and sensing
  - b. Renewal planning

IV. Developing a commitment plan

- 1. What is a critical mass for implementation?
  - a. Numbers of senior staff
  - b. Leadership of key groups
  - c. Sample from each constituency
- 2. What steps in what order are needed to get commitment?
  - a. Problem finding
  - b. Education
  - c. Treating hurting systems
  - d. Changing rewards
  - e. Changing role model behavior
  - f. Forced collaboration mechanisms

## V. Managing the transition

- A. Transition between old "state" and change "state" is also a "state" requiring its own governance structure
- B. Possible management structures
  - 1. The hierarchy
  - 2. Official bodies - e.g., executive committees
  - 3. Representatives of major institutional constituencies - e.g., hospital, school representatives
  - 4. Representatives of professional constituencies
  - 5. Diagonal slice of all relevant sub-systems - e.g., faculty, hospital, students, administration
  - 6. Informal influence group (linkage leaders)
  - 7. Kitchen cabinet (staff group - associates, etc.)

## VI. Maintaining viability after change

- A. Specific mechanisms and management structures needed for assuming stability and self renewal
- B. Some questions around stabilizing change
- C. Does it require a program and program management?
- D. If it is a matrix - a system for "crunch" management
- D. Defining relationships between the new structure and existing structure e.g., new and old curricula - transition and change; new relationships with hospitals - management of clerks and house staff; a new strategic planning system on information systems; new decision making responsibilities; new centralization or decentralization of responsibilities



## SPECIFYING FUTURE/UNDERSTANDING PRESENT

57

### Goal-Setting: Defining the Future State

It is helpful in defining a goal -- meaning a place one wants to get to -- for managers to define a state or set of conditions that would exist if the goal were reached. For example, one way of defining a goal would be that in some period, say three years from now, one would like the organization to be functioning multinationally; to have sixteen lines of products; to have a growth rate of 10% return on investment; to have more specialists and fewer line managers, or vice versa; to have a sales force which is primarily technically-oriented; to have a cost accounting system in effect; to have both marketing information and payroll and other accounting information entirely on a computer; etc. The description of the goal is in terms of what the organization would look like if one took a picture of it at some point in the future and it were operating effectively or optimally in terms of what the desired change would have produced.

Recognizing that the future state, such as has been illustrated above, is still a dynamic state, it is helpful to define the future as if it were a static condition for purposes of planning and setting checkpoint targets. The important point is that the future state definition should be detailed and comprehensive.

### Assessing the Present State

As with specifying the "future", it is important to look at the present organizational condition prior to embarking on action taking to achieve the desired ends. The risks of action taking based on erroneous or incomplete assumptions about the current organizational state are too great in complex systems to undertake a change effort without a systematic "picture-taking" diagnosis of the present. Like the future definition, the present state diagnosis should give a clear, accurate, and complete "picture" of the present.

### Identifying Change Targets & Problem Finding

Comprehensive definitions of both the future and present states facilitate location of change problems and change targets. However, in large complex systems, the number and range of change problems can be significant. Thus some prioritizing of problems is needed. Although there are no formulas or cookbook recipes for specifying how to prioritize problems, we can suggest as guidelines several questions the manager can ask.

1. To what extent is the problem affecting the ability of the organization to achieve a priority objective or goal?
2. Is the problem causally linked to other problems? That is, if one were to affect improvement in that problem area, to what extent would improvement be evidenced in other problem areas?
3. Is working on this problem likely to mobilize support or resistance from the system?
4. What resources are required to resolve this problem? Are they available?
5. How much visibility does this problem have? Internally? Externally?
6. What is likely to be the condition of this problem six months from now if we do not do anything about it?

In order to help the manager to have some basis of classifying the goals or end states and, from an organizational point of view, the types of change that need to occur to achieve the new state, parts of a typology developed by Beckhard (1969) might be useful. Experience in analyzing organization change issues has indicated that practically all large system change problems can be categorized under one of the following five categories or some combination thereof:

1. Relationship of the organization to its environment
2. Managerial strategy
3. Organizational structure
4. Ways work is done
5. Rewards and reward systems.

#### Managing the Assessment Process - Guidelines

1. Assessing the Need for Change. When a change effort is initiated, either the environment or the management or some other part of the system will have in fact determined that there is a need for changing something to something else. A first step analysis is to analyze what these needs are and whether they are shared perceptions or are very differentiated between parts of the system. It is also useful to collect information from various parts of the system in order to assess not only the perceptions but the strength of the perceptions of the need.
2. Defining the Change Problem. What is the organizational problem(s)? What types of changes are indicated? If we assume that all change is ultimately change in the behavior of somebody, the types of intermediate changes being talked about are the following: changes of attitudes, changes of behavior, changes of knowledge and understanding, changes of organization policies, changes of organization procedures and ways of work. Each of these probably is necessary in some part of the system in order for the change to occur. The diagnostic question is, is there any logical priority to these? Is there any domino effect? That is, must one thing get changed in order for other things to be changed?
3. Locating the Appropriate Systems. Once having defined the change problems, one can then look at the organization's subsystems to determine which specific subsystems are primarily related to which particular change problem. The appropriate systems may be the organizational hierarchy, may be pieces of it, may be both inside and outside the formal structure, may be in the environment outside the organization. A conscious identification of the minimum subsystems which primarily affect or are affected by this particular change helps to cut down the number of subsystems to be considered and also helps to clarify directions for early intervention.
4. Determining Each Subsystem's 'Readiness' and 'Capability' for Change. Readiness is an attitudinal process. Capability means the physical, financial, personal, or organizational capacity to make the change. These can be either independent or interdependent variables. It has been found that by analyzing these two separately, a set of action steps can be developed which are much more realistic and practical.

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1. The Typology is reported in detail in R. Beckhard, Organization Development: Strategies and Models, Reading, Mass: Addison-Wesley Publishing Co., 1969.

David Gleick, formerly of Arthur D. Little, has developed a simple formula which can be described more or less mathematically, which helps in thinking through how to cope with the readiness and capability dilemma. The formula is:

$$C = (ABD) X \quad \text{where}$$

- C=Change
- A=Level of Dissatisfaction with the status quo
- B=Clear Desired State
- D=Practical First Steps toward the desired state
- X=Cost of Change

In other words, in order for change to be possible and for commitment to occur, there has to be enough dissatisfaction (A) with the current state of affairs to mobilize energy for change. The desired state (B) needs to be consistent with the values and priorities of the system, or there will not be a change. There needs to be enough awareness of practical first steps toward the desired state for a movement to take place. If any of these are not great enough, the cost (X) will be too high. An early diagnosis to determine which of these conditions does not exist, or does not exist in high strength, may provide direct clues as to where to put intervention energy.



## PLANNING FOR CHANGE

by Richard Beckhard

In planning a change in the status quo of a relationship, a program, a procedure, a communication pattern, an organization, or a way of work, the person wishing to initiate the change can improve his change efforts through the application of:

1. a systematic diagnosis of the "system" or "people" or structure to be changed
2. an analysis of the possibilities and limitations for change
3. a development of an action plan for initiating and maintaining the change
4. continuous evaluation and replanning as the change effort progresses.

Administrators and trainers, in planning for changes, frequently tend to move immediately from a superficial diagnosis of a problem to the action steps. Evidence and experience indicate that a more thorough diagnosis of all aspects of the situation to be changed and of the administrator's or trainer's relationship to the situation as an agent of change will produce a more effective result, and fewer tensions in the system will occur.

There are several diagnostic tools available in diagnosing and planning for change. Application of these tools should increase the skills of the administrator in bringing about effective improvement in organizations, groups, and individual relationships.

### PHASES

1. Defining the change problem
  - a. What is the organization problem?
  - b. What types of change are indicated? Attitudes? Behavior, policies, practices, methods?
2. Locating appropriate systems
  - a. Determining the "systems" (parts of the organization, persons, groups, etc.) which are related to the particular problem.
3. Determining each "system's" readiness, capability, and potential for change
  - a. What are the forces for and against the change?

- b. How much change is realistic? Attainable? Practical?
- 4. Determining the "change agent's" (person initiating the change effort) own resources in helping with the change effort, and his own motivations for initiating the change
  - a. What is his position in terms of power, ability to influence, and his role as perceived by others in the "system"?
  - b. What are the several (if there are several and there usually are) reasons for his wanting the change?
    - 1) These reasons may be personal, status filling, organizational, professional, ~~communications~~, etc.
- 5. What are appropriate change objectives -- long and short range?
  - a. What should be the ~~immediate~~ and intermediate targets or objectives?
- 6. What is the appropriate starting point -- where does he have the most "leverage" or influence?
  - a. Who or what in the "system" is most vulnerable to (ready to accept) the change effort?
  - b. Who in the system is most accessible to the change agent?
  - c. Who or what in the system has the best linkage or connection with the rest of the system?



TYPOLOGY OF ORGANIZATION CONDITIONS  
VULNERABLE TO PLANNED CHANGE EFFORTS

I. Ways of Looking at Organisations re. Planned Change

- A. By systems
- B. By organisation problems
- C. By management processes
- D. By skills and abilities required

II. By Systems

A. Total organisation

- 1. Change in organisation climate or culture
- 2. Change in managerial strategy or style
- 3. Change in relationships to environments
- 4. Change in influence or communications patterns
- 5. Change in structure
- 6. Change in way work is organized
- 7. Change in control mechanisms

B. Organic sub-systems

- 1. Change in norms
- 2. Change in structure
- 3. Change in power/authority

C. Work families

- 1. Changes in decision making procedures
- 2. Changes in norms
- 3. Changes in communications norms/procedures
- 4. Changes in roles
- 5. Changes in authority and power

D. Levels of hierarchy

- 1. Changes in influence patterns between levels
- 2. Changes in responsibility or location of work
- 3. Changes in authority/power
- 4. Changes in communications procedures and practices
- 5. Changes in trust
- 6. Changes in self image and perceived image
- 7. Changes in control

E. Top team

- 1. Methods of operation
- 2. Decision making
- 3. Norms
- 4. Communication pattern



**F. Inter-group (dept.) relationships -- in mergers**

1. Status concerns
2. Images
3. Differences in background, language, etc.
4. Mutual goal setting

**G. New teams**

1. Members' expectations for unit
2. Members' perceptions of roles and responsibilities
- \*3. Bosses' and colleagues' perceptions of
4. Expectations of rewards and personal goal achievement
5. Determining managerial style
6. Development of communications procedures
- \*7. Planning

**III. Organization Problems**

**A. Relocation of functions**

1. Planning
2. Control
3. Roles

**B. Development of project organizations or temporary systems**

**\*C. Cost concern and profit improvement**

**D. Manning change**

**E. Introduction of new technology**

**F. Dealing with managerial )  
technological) obsolescence**

**IV. Management Processes**

**A. Goal setting -- individual and group**

**B. Selection**

**C. Assessing development needs/inventory and resources**

**D. Conduct of meetings**

**E. Performance evaluation**

**F. Planning and conduct of training**

**G. Broadening participation in problem solving**

V. Individual Skills Abilities

- A. Problem solving/Decision making
- B. Interpersonal competence
- C. Planning skills
- D. Organization diagnosis
- E. Management of conflict
- F. Training
- G. Counseling
- \*H. Work

## TRANSITION STATE

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The "Transition State" is unlike the PRESENT or the FUTURE. It is a unique condition with a specific time duration and characterized by certain organizational dynamics.

## Organizational Characteristics of the Transition State:

1. High uncertainty/low stability
2. High levels of "inconsistency" (perceptual)
3. High emotional stress on people
4. High energy (often undirected)
5. Control becomes a major issue
6. Past patterns of behavior become explicitly valued
7. Conflict increases, esp. intergroup

- Condition is analogous to adolescence or retirement -

## Needs and Demands on Organization

1. Energy, esp. "negative energy" (e.g., frustration, anxiety, threat, etc.), needs to be redirected and managed:
  - a. key leaders become very viable and important role models
  - b. proactive and guidance-giving leadership are needed
  - c. conflict management needs to be in a priority management concern
2. There is a strong need to see "uncertainty and stability" as Goals.
3. There are very high demands on communications and information systems
  - a. role expectations/responsibilities need to be understood
  - b. performance feedback is needed and sought
  - c. norms and assumptions need to be examined and tested
  - d. reward systems need to be understood
4. Organizational or subsystem operational effectiveness are a concern
  - a. "unaffected" subsystems need to be effectively managed
  - b. organizational integration is a continuing priority
5. Change Management needs to be trusted, respected, and perceived as competent
  - a. confidence in the change plan is needed
  - b. strategies need to be perceived as consistent with goals

### Requirements for Effectiveness

1. Psychological acceptance of uncertainty on part of key leaders
2. Clear and explicitly defined goals (FUTURE) for whole organization
3. Identification of intermediate goals - milestones and progress check points
4. Development and management of a two-way communications systems adequate to handle high info flow demands
5. Plans (detailed) specifying:
  - a. change strategy (Activity Plan)
  - b. commitment-building process
  - c. management structures - for managing the change and managing "unaffected" functions and the FUTURE
  - d. evaluation/feedback on progress
  - e. maintaining the FUTURE
6. Commitment and confidence of key leaders to the change and achievement of the FUTURE

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Tradition Way of Viewing Change Situation

1. Identify a problem, opportunity, discrepancy between what is desired and actual condition - usually defined in terms of output/outcome
2. Specify the desired output/outcome condition
3. Specify how the "organization" will operate when desired output/outcome condition is achieved - often called a plan
4. Inform those involved of "plan" - and dates/responsibilities for implementation of "plan"
5. Implement plan - operate in desired condition

Critical Assumptions Implicit in Traditional View of Change

1. If desired state is understood by those involved, it can be readily and quickly achieved
2. "Plans" specify how things will operate in when the desired state is achieved
3. The critical need to effectively manage the change is to specify the desired condition (plan)
4. People's needs, feelings, attitudes, and commitment are secondary to organizational needs and rationality in planning
5. The present condition is completely and commonly understood

Alternative View of the Change Situation in Complex Organizations

1. Identify a problem, opportunity, discrepancy between what is desired and actual condition
2. Define the desired (FUTURE) condition in comprehensive terms - how will the organization operate (behavioral and attitudinal patterns) and what outcomes will occur (performance and morale)?
3. Specify the current (PRESENT) condition in comprehensive terms and test for consensus and accuracy of that diagnosis



4. Locate the gaps between the PRESENT and FUTURE conditions on all dimensions - this analysis broadly defines the TRANSITION state
5. Specify the Transition State - its time duration, governance structures, activity planning, readiness assessment, commitment planning, etc.
6. Develop Transition management plan and evaluation/monitoring plan
7. Implement plan and monitor against intermediate goals - readjust activity plan or goals

Critical Assumptions Underlying Transition Management View of Change

1. Change situation involves three distinct conditions or STATES - Present, Future, and Transition
2. Each state has a unique set of defining characteristics (structures, rewards, time orientation, psychodynamics, outcomes, etc.)
3. Each state requires a unique governance or management structure(s)
4. Effective transition planning is contingent on accurate and complete diagnosis and specification of both the present and future states
5. Achievement of the Future is largely a function of the level of commitment of key "actors" to achieving the Future and supporting the Transition management plan
6. Effective transition management is also a function of regular feedback (evaluation) against immediate goals and readjustment action-taking as indicated
7. Transition management is practice for future operating management - given increasingly turbulent organizational environments

TRANSITION MANAGEMENT

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Transition management involves two distinct yet interrelated considerations/activities - planning and implementation.

Planning - Strategy Development

1. Development of an Activity or Process Plan

- specifies the activities to be undertaken and critical incidents/events that must occur to get from PRESENT to FUTURE
- characteristics of effective process plan:
  - (a) purposeful - activities clearly linked to change goals and priorities
  - (b) task-specific - type of activities involved are clearly identified, not broadly generalized
  - (c) integrated - discrete activities are linked
  - (d) temporal - time-sequence is explicit
  - (e) adaptable - contingency plans and methods of adaptation to unexpected forces are built-in
  - (f) agreed to by top of organization
  - (g) cost-effective - in terms of investment of time and people
- provides the "roadmap" for the change

2. Development of a Governance Plan

- specifies how the Transition state will be managed and emphasizes the likelihood that the transition period may be unlike either the present or the future and may require a unique management structure
- may be a need to simultaneously manage day-to-day operations, manage the change, and develop the new state management resources
- some possible transition management structures
  - (a) Chief executive becomes project manager
  - (b) Assigned project manager
  - (c) The hierarchy
  - (d) Representatives of major constituencies - e.g., professionals, management, union, office staff, community, customers, etc.
  - (e) Official Bodies - e.g., executive committee
  - (f) "Natural" leaders - informal influence group, (linkage leaders)
  - (g) Diagonal slice of relevant subsystems - using people representative of various functions rather than formal representatives of groups(d)
  - (h) "Kitchen cabinet" - trusted colleagues/confidants of CEO with high organizational influence

### 3. Development of a Commitment Plan

- What is the "critical mass" necessary to ensure the change? Who, in what role locations, must be committed to the change in order for it to be effective?
- Critical Mass is defined by those people/groups, who if actively in support of the change, ensure that the change will take place; [e.g., certain key executives, certain group leaders (formal and informal), involvement of representatives of certain constituencies].
- Commitment Plan is strategy described by series of action steps, devised to secure support of key subsystems identified as critical to change effort.
- Steps in developing Commitment Plan:
  - (a) Identify target individuals/groups whose commitment is needed
  - (b) Defined "critical mass"
  - (c) Choose/Design action steps to get commitment
    - Problem-finding activities (awareness raising)
    - Educational activities (awareness raising)
    - Treating hurting systems
    - Changing rewards
    - Functioning as role model (implicit rewards change and/or learning approach)
    - Forced collaboration mechanisms

### Implementation - Managing the Change

#### 1. Early Interventions - "getting started"

- Emphasis needs to be on READINESS, CAPABILITY, and COMMITMENT development. Possible interventions are:
  - (a) Organizational Confrontation Meeting
  - (b) Educational Activities
  - (c) Experimental Projects
  - (d) High viability, high probability of success pilot projects
  - (e) Role/Responsibility clarification activities (Responsibility Charting)
- Trust is likely to be a primary issue, thus management of commitment, participation/involvement, and information/communication may be critical early agenda.

#### 2. Monitoring Progress - checking "reality" against plans

- Periodic monitoring of the situation to check if assumptions/perceptions are valid and consistent with plan
- Be prepared (psychologically, at least) to adapt plan to "reality".
- Have an evaluation/monitoring plan and method whose data you trust.



### 3. Reactive Problem-Solving Capability in Change Management

- Change management should be ready to react to problems - e.g., schedules, environmental changes, priority conflicts, resistance, etc.
- Change management should have power (influence or authority) to quickly react with effect.
- Change management should have access to organizational resources (time, people, money).
  - (a) Specific budget line for crisis management situations
  - (b) Ready access to CEO/Executive Committee
  - (c) Access to specific organizational resources on a priority basis

### 4. Formal Assessment of Change

- Periodic (pre-determined) meetings of change planning group should occur to assess progress against goals and revise plans if needed.
- Critical points can be identified in the change process which define good evaluation points; (e.g., lulls in intervention sequence, "plateaus", lulls in operations, end of budget period, etc.).
- Evaluation should start with an assessment of goals and priorities - have they changed?

#### IV.

#### POWER AND POLITICS

THE ART OF POLITICS

"Politics is the art of the possible." Out of everything we do in politics, 70% is useless--the problem is that we do not know which 70% it is."

-- Jim

Most systems we work within have political sub-systems. These systems tend to be unrecognized at worst and unacknowledged at best. With some generalized sense of the greater good as a backdrop. Politics consists of making things happen, of moving individual groups and systems. Further, this action itself may take place as a result of the recognition of immediate or urgent self interest.

The politician's art is in holding both constructs simultaneously: the general good as well as sub interest, while at the same time producing actions which engage openly and forcefully with what is possible.

Since these are conditions which obtain for the practitioner, it makes some sense for us to look at and enumerate the politician's skills to see which of them can be useful to us. Below are listed some of these skills:

1. Involvement - getting others involved and getting them to take action.
2. Setting up a campaign plan
  - Designing Strategie(s) - long term
  - Developing Tactics - Short term
  - Establishing Operations - which block others
3. Use of Media and Public Relations
  - writing - Education of key leadership
  - recording- Dissemination of information about the change effort
4. Leadership - as an acquired taste
5. Identifying natural constituencies
6. Building Constituencies
7. Building coalitions - temporary
8. Developing alliances - long term
9. Negotiating
  - trade-offs
  - cutting deals
10. The times and tides
  - Issue development
11. Winning and Losing
12. Support identification
  - key influences
13. Getting the support out
  - using a critical mass of allies
14. Use of symbolic acts
15. Group unconscious:
  - Synthesizing issues & forces

POWER DYNAMICSSOURCES OF POWER

1. Position
  - ( Overall Responsibility
  - A. Directors (
    - ( Control Resources
    - ( Directors
    - ( Responsive(
      - ( Members
      - ( Directors
      - ( Connect (
        - ( Members
        - ( Carry out Mission of Others
        - C. Members (
          - ( Work in Structures, Rules, and
          - with Resources Determined by Others
  2. Expert Power
  3. Reward Power
  4. Coercive Power
  5. Relationship Power
  6. Reason Power - Knowledge, Information, Problem Solving
  7. Charismatic Power
  8. Persistence Power

POWER RELATED CONCEPTS

1. Energy - Mobilize, Channel, Maintain, Diffuse
2. Direction - Identified Objectives
3. Differentiation/Integration - Parts vs. Whole
4. Self/System Balance - My Goals and System Needs
5. Choices - Options, Processes, Styles
6. Resources - Availability, Economy
7. Time - Sustained Impact
8. Future - Maintaining Flexibility
  - ( Empowering Others
9. Spin-Offs - (
  - ( Negative Consequences

II  
B

ORIENTATIONS TO POWER

1. Organic Power - Self and System Perspective

-- Influence own Condition

-- Influence Condition of System

Doing What We Need to Do and What the System Needs  
Having Done

2. Person- Primacy Power

Freedom of Individuals Takes Primacy over Survival  
and Growth of Systems

3. System - Primacy Power

Survival and Growth of Systems Takes Precedence  
over Individual Freedoms

SOURCES OF CONFLICT

1. Position Based-Issues

- Working the System
- What is Justice?
- What is Progress?
- Breaking/Following Rules
- Things vs. People
- Numbers vs. Experiences

2. Position Based-Values

- Directors - Order and Stability
- Middles - Playing Fair
- Members - Freedom and Justice

3. Cross Position-Perspectives

- Conservatives
- Middle of Roaders
- Radicals

Ambivalence  
↓  
System Differentiation  
↓  
Hardened Perspectives

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Chart 1. Power and Powerlessness in the Director, Member and Middle Position.

Position	Organic Power Opportunities	Central Processes	Low Power Patterns
Director	Focusing and channeling system energy.	Managing the tension between change and stabilization.	1. Understructuring 2. Overstructuring
Member	Enriching the system's visions and structures; and shaping, modifying or changing its visions and structures.	Going with the system as it is <i>and</i> rebelling against the system as it is.	Being stuck on <i>either</i> participation <i>or</i> rebellion.
Middle	Influencing the Director/Member communication and interaction patterns.	Responsiveness to <i>both</i> Directors <i>and</i> Members, and <u>Independence</u> from both of them.	Being Stuck-Up Being Stuck-Down Being Stuck-in-the-Middle

Chart 2. Orientations of Autocrats, Loyalists, and Good Soldiers

System-Centered Slogans	Behavior Patterns of Directors, Middles and Members			Weaknesses In The System That Are Ignored, Denied or Defended	Reactions to Legitimate Efforts To Change These System Weaknesses
	Style	Tendency	Blind Side		
<p>"KEEP OUR SYSTEMS STRONG"</p> <p>"PRESERVE OUR INSTITUTIONS AND TRADITIONS"</p> <p>"PROTECT US FROM OUR ENEMIES"</p> <p>"LOVE US OR LEAVE US"</p>	Autocratic Directors	Over-Structuring	Adapting Visions and Structures to Meet Current Realities	<p>Visions which are inappropriate, unethical, narrow, destructive.</p> <p>Structures which fail to channel member energy.</p> <p>The inability of system to adapt to changing conditions.</p>	<p>Such change efforts are seen as:</p> <p>Insubordinate</p> <p>Disloyal</p> <p>Anarchistic</p> <p>Trouble-Making</p> <p>Divisive</p> <p>And such efforts are:</p> <p>Ignored or</p> <p>Squashed</p>
	Loyalist Middles	Stuck-Up	Maintaining A System Perspective Independent Of That Of Directors; Confronting Directors in Support of Members		
	Good Soldier Members	Stuck On Participation	Confronting, Questioning, Challenging Existing System Visions and Structures		

Chart 3. Orientations of Democrats, Liberals, and Individualists

System-Centered Slogans	Behavior Patterns of Directors, Middles and Members			Weaknesses In The System That Are Ignored, Denied or Defended	Reactions to Legitimate Efforts To Change These System Weaknesses
	Style	Tendency	Blind Side		
<p>"FREEDOM!"</p> <p>"THROW OFF THE SYSTEM CHAINS THAT SHACKLE YOU!"</p> <p>"DO YOUR OWN THING!"</p>	Democratic Directors	Under- Structuring	<p>Creating System Visions and Structures;</p> <p>Confronting Resistance To System Visions and Structures</p>	<p>Apathy</p> <p>Aimlessness</p> <p>Structural Looseness:</p> <p>Failure To Honor Agreements</p> <p>Failure To Keep Appointments</p> <p>Uneven En- forcement Of Laws, Rules, And Regulations</p> <p>Chaos</p> <p>Leaders Who Don't Lead and Followers Who Don't Follow</p>	<p>These are seen as:</p> <p>Oppressive</p> <p>Confining</p> <p>Totalitarian</p> <p>Fascist</p> <p>And such efforts are:</p> <p>Ignored or</p> <p>Squashed</p>
	Liberal Middles	Stuck-Down	<p>Maintaining A System Perspective Independent Of That Of Members;</p> <p>Confronting Members In Support Of Directors</p>		
	Individualistic Members	Rebellion; Peripheral Membership; Dropping Out	Participation: Going <i>With</i> The System.		



T A

LOOSE AND TIGHT: TWO ORIENTATIONS TO PERSONAL CONTROL  
AND THEIR IMPLICATIONS FOR ORGANIC POWER

<u>Position</u>	<u>Loose</u>	<u>Tight</u>
Director	Sieve	Petty Tyrant
Middle	Dallier	Bureaucrat
Member	Blob	Crab

SOCIAL DISEASES OF THE DIRECTOR,  
MIDDLE AND MEMBER POSITIONS

<u>Position</u>	<u>Central Theme</u>	<u>Social Disease</u>
Director	Courage	Cowards and Gods
Middle	Boundary Confusion	Dummies, Flunkies, and Super-Rads
Member	Differentiation/Integration	Invisibility Apathy Laziness

① ②

A great deal of research has been carried out to determine the conditions under which one person is likely to influence another. The results can be summarized under four headings: 1. characteristics of the person exerting influence (the source). 2. characteristics of the person being influenced (the target) 3. the situation and conditions surrounding the "influencing process." 4. characteristics of the change being sought (the result of successfully influencing the other).

Attempts to influence another are more likely to succeed in the following circumstances.

The source of influence:

1. has high prestige.
2. has expertise or special knowledge.
3. had defined the situation.
4. offers something valuable to the other.
5. is associated with a group or organization in which the target values membership.

The target of influence:

6. wants to be liked by or approved by the source.
7. identifies with the source.
8. will gain status by changing.
9. has an obligation to the source.
10. can respond and have those responses taken into account.

The situation.

11. is face-to-face and personal.
12. is not fear-arotising.
13. involves a public commitment by the target,
14. gives the target a chance to "try out" the new behavior or to play a role that involves it,
15. allows the target to participate in making the decision to change.

The change desired:

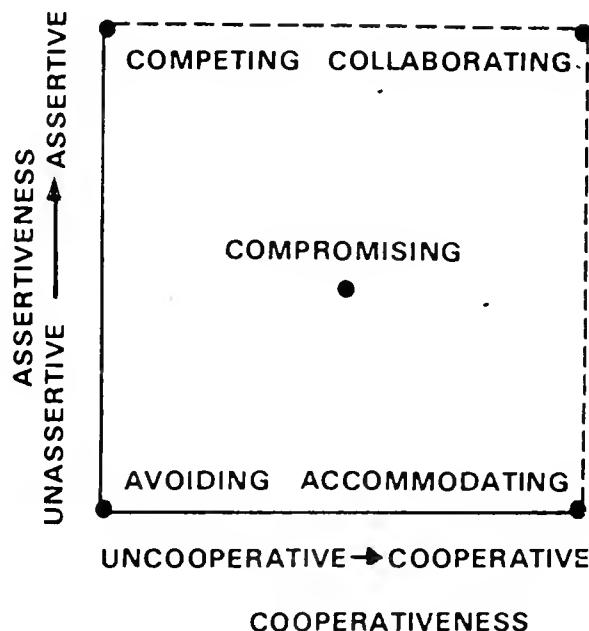
16. is small in relation to present behavior.
17. is consistent with other attitudes expressed or actions previously taken by the target.
18. is related positively with the target's self-concept.
19. is an expression of the target's values.
20. is relevant to achieving group objectives.
21. involves public rather than private behavior.
22. does not require the target to "lose face."
23. is consistent with group norms.

TV E

## THOMAS-KILMANN CONFLICT MODE INSTRUMENT\*

### The Five Conflict Handling Modes

The Thomas-Kilmann Conflict Mode Instrument is designed to assess an individual's behavior in conflict situations. "Conflict Situations" are situations in which the concerns of two people appear to be incompatible. In such situations, we can describe a person's behavior along two basic dimensions: (1) assertiveness, the extent to which the individual attempts to satisfy his own concerns, and (2) cooperativeness, the extent to which the individual attempts to satisfy the other person's concerns. These two basic dimensions of behavior can be used to define five specific methods of dealing with conflicts. These five "conflict-handling modes" are shown below:



\*This two dimensional model of conflict handling behavior is adapted from "Conflict and Conflict Management" by Kenneth Thomas in Volume II of *The Handbook of Industrial and Organizational Psychology*, edited by Marvin Dunnette (Chicago: Rand McNally, 1975). Another valuable contribution in this field is the work of Robert Blake and Jane Mouton in *The Managerial Grid* (Houston: Gulf Publishing, 1964).

## A. Competing

- Uses:
1. When quick, decisive action is vital—e.g., emergencies.
  2. On important issues where unpopular courses of action need implementing—e.g., cost cutting, enforcing unpopular rules, discipline.
  3. On issues vital to company welfare when you know you're right.
  4. To protect yourself against people who take advantage of non-competitive behavior.

## B. Collaborating

- Uses:
1. To find an integrative solution when both sets of concerns are too important to be compromised.
  2. When your objective is to learn—e.g., testing your own assumptions, understanding the views of others.
  3. To merge insights from people with different perspectives on a problem.
  4. To gain commitment by incorporating other's concerns into a consensual decision.
  5. To work through hard feelings which have been interfering with an interpersonal relationship.

- Uses:
1. When goals are moderately important, but not worth the effort or potential disruption of more assertive modes.
  2. When two opponents with equal power are strongly committed to mutually exclusive goals—are in labor-management bargaining.
  3. To achieve temporary settlements to complex issues.
  4. To arrive at expedient solutions under time pressure.
  5. As a backup mode when collaboration or competition fails to be successful.

## D. Avoiding

- Uses:
1. When an issue is trivial, of only passing importance, or when other more important issues are pressing.
  2. When you perceive no chance of satisfying your concerns—e.g., when you have low power or you are frustrated by something which would be very difficult to change (national policies, someone's personality structure, etc.)
  3. When the potential damage of confronting a conflict outweighs the benefits of its resolution.

## E. Accommodating

- Uses:
1. When you realize that you are wrong—to allow a better position to be heard, to learn from others, and to show that you are reasonable.
  2. When the issue is much more important to the other person than to yourself—to satisfy the needs of others, and as a goodwill gesture to help maintain a cooperative relationship.
  3. To build up social credits for later issues which are important to you.
  4. When continued competition would only damage your cause—when you are outmatched and losing.
  5. When preserving harmony and avoiding disruption are especially important.
  6. To aid in the managerial development of subordinates by allowing them to experiment and learn from their own mistakes.

V.

INTERVENTIONS

&

INTERVENORS

## Intervention Theory and Practice

### I. Definitions

- A. Interventions are behaviors that come between the ongoing social process of a system.
- B. They may intervene of stop:
  - 1. social interaction between individuals
  - 2. the interaction between groups
  - 3. the procedures used for
    - a. transmitting information
    - b. making decisions
    - c. planning action
    - d. setting goals
  - 4. the strategies and policies guiding the system
  - 5. the norms (unwritten ground rules) or values of the system
  - 6. the attitudes of people toward
    - a. work
    - b. the organization
    - c. authority
    - d. social values
  - 7. the distribution of effort within the system

### II. Posture of the intervenor

- A. He has some values and assumptions about excellence or an ideal state which affect his behavior.
- B. He has some attitudes toward the system's goals and values which affect his behavior.
- C. He has some degree of need to influence the system to change.
- D. He has some amount of need for approval and success.
- E. He has some mix of needs to control and to help.
- F. He has some attitudes toward the potential growth and actualization of people in general and in the system in particular.
- G. He has some degree of motivation to stay with the system.
- H. He has some mix of skills as a
  - 1. diagnostician
  - 2. theory interpreter
  - 3. consultant
  - 4. training designer
  - 5. trainer
  - 6. structural analyst.
- J. He has some amount of knowledge about
  - 1. nature of man
  - 2. nature and dynamics of organizations
  - 3. nature and styles of management
  - 4. change
  - 5. organization development

### III. As he intervenes he faces these issues

- A. Establishment of a "contract" with a client. How much:
  - 1. sharing of expectations
  - 2. sharing of values
  - 3. definition of the problems
  - 4. sharing of feelings and attitude

- 5. of a relationship -- what kind -- time frame -- roles?
  - B. Developing a commitment on the client's part to managing the change.
  - C. Defining power relationships
  - D. Setting the boundaries of access to the system
  - E. Choosing when to be a consultant (helping the client to work the problem) and when to be an expert
  - F. Determining areas where he can and/or should contribute substantively
  - G. Developing credibility with the client
    - 1. from role
    - 2. from knowledge
    - 3. from experience
- IV. He needs to choose at the beginning between
- A. a total system diagnosis
  - B. further diagnosis of the identified system
  - C. data collection from the system
    - 1. entry client
    - 2. other parts of the system
    - 3. outside the system
  - D. an intervention such as
    - 1. interviewing and feedback
    - 2. a team building activity
    - 3. an intergroup activity
    - 4. a training activity
  - E. a further clarification of
    - 1. organization goals and/or
    - 2. change goals
  - F. presentation of conceptual framework
- V. He needs to have conceptual models and criteria for making these choices. Those would probably include:
- A. forces in the situation indicating a need for intervention
  - B. type of problem
  - C. systems involved in the problem and their relationships to each other
  - D. attitudes of these systems and the people in them toward
    - 1. the problem
    - 2. a change effort
  - E. his own values, assumptions, and motivations
  - F. alternative entry points
  - G. intermediate goals and progress measurements
- VI. Some generalizations about organization
- A. They are made up of teams.
  - B. These teams or groups have interfaces
  - C. The organization interfaces with an environment.
  - D. There are some organization goals
  - E. There is a collection of individuals and sub-group goals, needs, and values.
  - F. There is a need for continuing education and learning for the organization to survive
- VII. Host OD interventions, therefore, are aimed at:
- A. increasing group effectiveness



- B. improving the collaboration and interfaces
- C. setting, sharpening, clarifying, modifying organization goals
- D. coordinating organization goals and individual or sub-group needs, values, and goals
- E. educational interventions to help with learning.

VIII. An action research posture appropriate for most interventions. It includes three aspects.

- A. Collecting information
- B. Feeding it back to respondents
- C. Planning action based on information

IX. Some specifics

- A. Team development
  - 1. new team
  - 2. team goal setting
  - 3. team task orientation
  - 4. team relationship
- B. Intergroup relationships
  - 1. from competition to collaboration
  - 2. mirroring
  - 3. problem confrontation
- C. Goal setting and planning
  - 1. organization
    - a. confrontation
    - b. collaboration
  - 2. group
  - 3. individual performance
  - 4. career
  - 5. life
- D. Organization and environment
  - 1. socio-technical systems
  - 2. differentiation -- integration

## INTERVENTIONS

Topic: Choosing An Intervention

## I. MAJOR CONCEPTS AND SUBJECT AREAS

- A. Definitions - "An intervention is any planned activity that stops or interrupts daily organizational functioning in order to change the way people perceive, think about and/or act in the system" (Beckhard).

"... a set of structure activities that are the means to implementing the values, assumptions, and goals. These activities are what we mean by the word interventions (French and Ball, 1977 p. 103).

B. Intervention Typologies- Diversions for categorizing

## 1. Beckhard

- (a) Outcomes
  - change awareness/understanding
  - change behavior
  - develop skills
- (b) Targets
  - level and status in organization
  - individual/group/function/sub-system/system
- (c) Mode (methods of transferring concepts, technology, skill, etc.)
  - combination of cognitive input, technology, skill, etc.
- (d) Settings of intervention
  - on site vs off-site

## 2. Burke and Hornstein Typology (see Figure 1)

## 3. French and Bell Typology based on hypothesized change mechanism (see Figure 2)

## 4. Technology of OD Miles and Schmuck (see Figure 3)

C. Selecting the Appropriate Intervention

1. Linkage - how one intervention is connected to overall system strategy and how related to systematic diagnosis.

## 2. Criteria for choice (Arygris)

- (a) valid data
- (b) internal commitment
- (c) Free choice

## 3. Conditions for effective use of intervention

- (a) Appropriate level of intervention  
(see Roger Harrison Figure 4)

### D. Intervener Role

- Knowledge
- Skills
- Relationship with client (expert, facilitator)

~~II~~

## ~~III~~ INTERVENTION PRACTICE: ISSUES AND APPLICATIONS

### A. Action Research posture to interventions (Beckhard and Burke and Hornstein)

- 1. Responds to a felt need on the part of client group
- 2. Initiates or supports normative change in the organization's culture
- 3. Involves the client group in the planning and implementing of the change effort

### B. Guidelines for designing interventions (from Beckhard)

- 1.. Level of intervention (Harrison's depth of intervention)
- 2. Target - individual/group/intergroup/organization/organization-environment interface
- 3. Trade-offs
  - Time (high-----low)
  - Money (high-----low)
  - Dependency on intervener (high----low)
  - Learning (high-----low)
  - Visible, immediate impact (high----low)
- 4. Integration with multiple interventions

## C. Examples of Interventions

### 1. Organization and environment

-open-systems planning (a set of activities for top management to make adjustments in the organization's linkage to the external environment -- it includes mission development, mapping of current and future environmental pressures and development of a strategy)

### 2. Organization structure and design

-socio-technical systems (design principles built on notion that technology constrains and limits organization design but does not totally determine it, and that different social structures have different social-psychological consequences -- a balance must be struck between technological and social psychological efficiency-

-Integrating mechanisms (organizational arrangements and procedures for coordinating differentiated sub-units which range from simple - rule and programs to complex matrix structures)

### 3. Intergroup Relationships

-Intergroup confrontation (an action research approach to managing intergroup conflict ---generate valid data about conflict from groups -- share it and use it to collaboratively plan ways of improving intergroup functioning)

-Problem confrontation (a problem solving procedure for diagnosing problems and organizing groups around implementing solutions)

### 4. Team Development

-New team development (a set of structural experiential activities to guide a team through goal setting, role allocation, setting up proper processes and managing interpersonal relationships)

-Existing team development (use of process consultation to improve team functioning)

-Interpersonal peacemaking (conflict resolution techniques)

## 5. Individually focused interventions

-Role negotiations (an interpersonally focused behavioral change activity built on interpersonally shared behavioral data and contracts for altering behavior between individuals)

-Life/career planning (experiential activities to facilitate individual development of proactive career and life plans)

-Interpersonal skill development (experiential learning activities such as T-groups)

-Job re-design (job enrichment and behavioral role descriptions)

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Figure 1

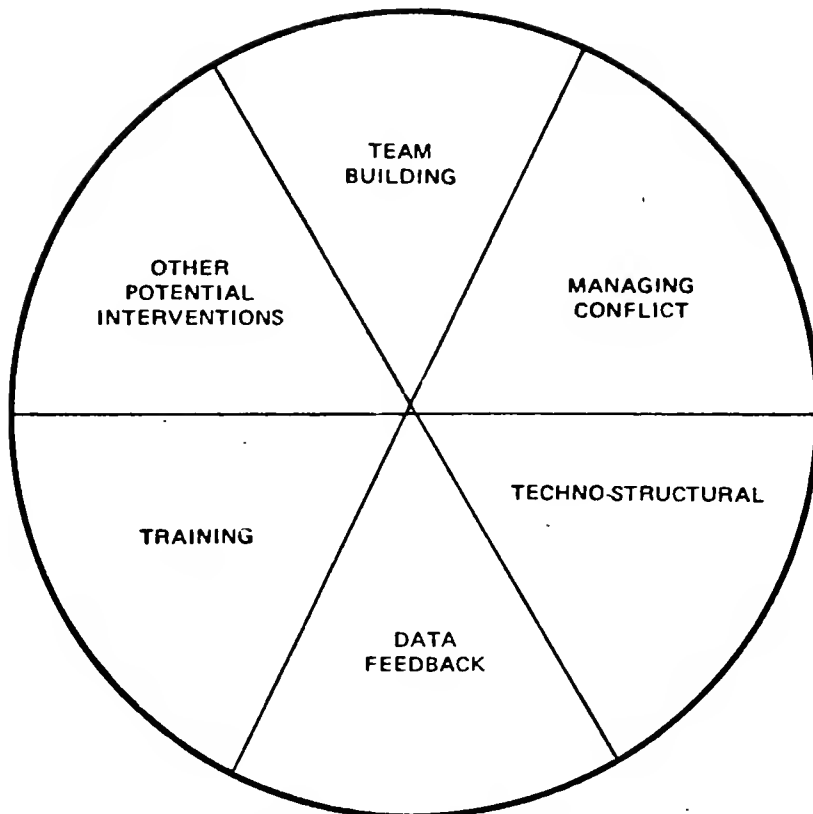


Figure 1. Types of OD intervention

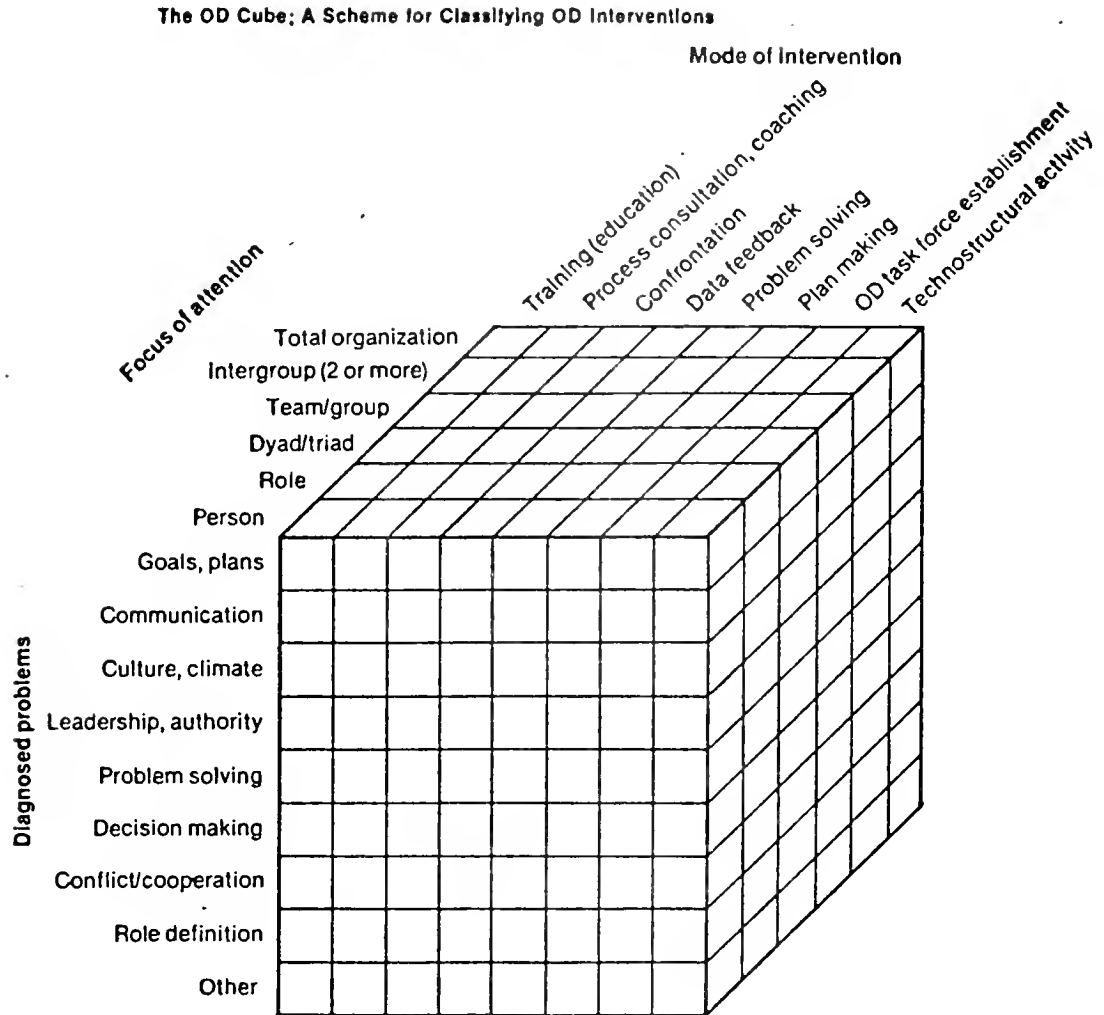
Figure 2

**FIGURE 2-4**

Intervention Typology Based on Principal Emphasis of  
Intervention in Relation to  
Different Hypothesized Change Mechanisms

Hypothesized Change Mechanism	Interventions Based Primarily on the Change Mechanism
Feedback	Survey feedback T-group Process consultation Organization mirroring Grid OD instruments Gestalt OD
Awareness of Changing or Dysfunctional Sociocultural Norms	Team building T-group Intergroup interface sessions First three phases of Grid OD
Increased Interaction and Communication	Survey feedback Intergroup interface sessions Third-party peacemaking Organizational mirroring Some forms of management by objectives Team building Technostructural changes Sociotechnical systems
Confrontation and Working for Resolution of Differences	Third-party peacemaking Intergroup interface sessions Coaching and counseling individuals Confrontation meetings Collateral organizations Organizational mirroring Gestalt OD
Education through: (1) New Knowledge (2) Skill Practice	Career and life planning Team building Goal setting, decision making, problem solving, planning activities T-group Process consultation Transactional analysis

Figure 3







Topic: Development of An Intervention Strategy

# I. MAJOR CONCEPTS AND SUBJECT AREAS

- A. Definition- Intervention strategy is the overall plan and activities for changing the system -- it generally includes multiple intervention techniques, on-going action research and a transition management plan.
- B. Strategy Development
  1. Diagnosis carried out on the system using a comprehensive organizational model provides the data base for determining areas for organizational improvement.
  2. Strategy development based on use of organizational model to help in identifying levels for change and improvement (for example diagnostic data may uncover dysfunctional conflict between sub-units in the system --using the model may lead to socio-technical re-design as the preferred intervention strategy).
  3. Dynamic systems consideration - by using a systems model the strategy must take into account second and third order effects of change in one part of the system -- thus, the strategy includes plans for dealing with "ripple" effects.
  4. Issues to consider in strategy development (from Beckhard):
    - (a) What is the change problem?  
Attitudes? Behaviors?  
Structural changes? Process changes?  
What are the interrelationships and the priorities?
    - (b) What is the appropriate sub-system included in the problem? Which individuals, groups, or units are involved and affected?
    - (c) What is the willingness and capability of the system to change? What are the competencies and environmental constraints?

Is the person or persons that want to bring about change in the right location? What is the influence potential?

- (d) When a consultant is used, what are the motives and resources of the change agent? What resources does he/she have and/or not have for the problem?
- (e) What are the intermediate change goals and strategies? What should be done in the short run? In the long run?
- (f) What are the initial entry points? What leverage does the change agent have with the system?

- C. Strategy Implementation - Transition Management - the time period between the decision to change and the contemplated change is a transition state - must be treated and managed as separate state
  - People in different role relationships
  - Ambiguity and uncertainty are high
  - Difficult to know who to go to for decisions
  - Record system unclear
  - Tendency to play it safe avoid risks

## II. MAJOR ELEMENTS OF INTERVENTION STRATEGY

- A. Specifying Desired State - Figure 1 displays the overall change process which places strategy development as Step 2.

- 1. Step 1 - Diagnosis of the system using the organizational models leads to identification of areas for change.
- 2. Step 2 - Based on diagnosis and understanding of the dynamics of the model a strategy for interventions is selected.
- 3. Step 3 - Once the strategic lever is selected specific intervention technologies are selected (see Table i for matching of strategic levers of intervention technology).
- 4. Steps 4-6 deal with implementation.

B. Implementing Strategy - Transition Management (Beckhard and Ruber)

C. Dilemmas in Strategy Development and Implementation

1. Tension between a Rational Drive toward Effectiveness  
A Political Drive to control allocation of  
resources to gain power.
2. Tension between total systems change and  
sequential attention to parts of the system.
3. Tension between environmental pressure for  
for change and bureaucratic momentum .
4. Information overload - too complex

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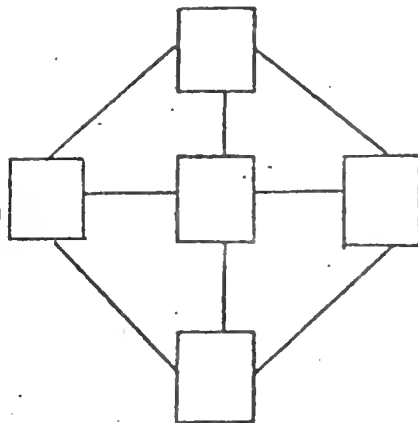
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School of Management, MIT, Working paper 879-76, 1976

Step 1

MODEL

Develop Diagnostic

Categories



Step 2

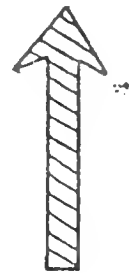
STRATEGIES

Identify

Key Leverage

Points

From Model



Step 3

TECHNIQUES

Select

Specific

Interventions

Step 4

CONDITIONS  
for SUCCESS

Evaluate

- Organizational
- Consulting Relationship  
Conditions  
necessary for  
success

Step 5

EVALUATION  
PLAN

Develop

Criteria  
for  
Measuring  
Outcomes  
of Intervention



Step 6

IMPLEMENTATION  
PLAN

Develop Specific plan:

- What is to be done
- When
- By Whom
- Resources needed

Table 1

Model Category	Examples of Change Strategies (Levers for change)	Examples of Change Techniques (Technology)
<u>Input</u>	<ul style="list-style-type: none"> <li>- change the environment</li> <li>- anticipate environmental changes</li> <li>- alter characteristics of input</li> </ul>	<ul style="list-style-type: none"> <li>- inter-organizational linkages</li> <li>- coalition building</li> <li>- organizational set analysis</li> <li>- open systems planning*</li> <li>- strategic planning</li> </ul>
<u>Transformation Process</u> <u>Mission &amp; Objectives</u>	<ul style="list-style-type: none"> <li>- clarify</li> <li>- change</li> <li>- build on-going mechanism for re-examining and changing</li> </ul>	<ul style="list-style-type: none"> <li>- Goal confrontation meeting</li> <li>- Multi-level planning</li> </ul>
<u>Socio-technical Arrangements</u>	<ul style="list-style-type: none"> <li>- Technical change (work flow)</li> <li>- Social structure change</li> </ul>	<ul style="list-style-type: none"> <li>- Contingency theories of organization design, e.g. differentiation and integration*</li> </ul>
<u>Organizational Processes</u>		
- Prescribed		
- Communication	<ul style="list-style-type: none"> <li>- Change the flow</li> <li>- Change the content</li> <li>- Change the quality level of distortion</li> </ul>	<ul style="list-style-type: none"> <li>- Re-design communication networks</li> <li>- Data-feedback*</li> </ul>
- Control	<ul style="list-style-type: none"> <li>- Establish collaboratively designed control system</li> <li>- Clarify standards and corrective action mechanisms</li> </ul>	<ul style="list-style-type: none"> <li>- Management by Objectives* System</li> <li>- Management information system</li> </ul>
- Problem-Solving and decision-making	<ul style="list-style-type: none"> <li>- Develop routine and non-routine procedures</li> <li>- Alter decision-making structure levels, patterns of involvement</li> </ul>	<ul style="list-style-type: none"> <li>- Data feedback-survey feedback*</li> <li>- Responsibility Analysis</li> </ul>
- Reward System	<ul style="list-style-type: none"> <li>- deal with individual differences</li> <li>- relate to organizational objectives</li> </ul>	<ul style="list-style-type: none"> <li>- Scanlan plan</li> </ul>
- Conflict Management	<ul style="list-style-type: none"> <li>- alter socio-technical arrangements</li> <li>- develop inter-group mechanism for handling</li> <li>- develop interpersonal for handling conflict</li> </ul>	<ul style="list-style-type: none"> <li>- integrating mechanisms</li> <li>- organizational mirroring</li> <li>- confrontation meeting</li> <li>- Role negotiation</li> <li>- third party consultation*</li> </ul>
- Emergent Structure and Processes	<ul style="list-style-type: none"> <li>- Explicitly examine emergent networks and change through new prescribed arrangements</li> </ul>	<ul style="list-style-type: none"> <li>- Autonomous work groups</li> <li>- job enrichment</li> <li>- Role analysis technique</li> <li>- Sociometric Network analysis</li> </ul>
<u>Individual-Group Component</u>		
- Individual style	<ul style="list-style-type: none"> <li>- alter selection and placement of individuals</li> <li>- train individuals</li> <li>- develop individuals for future</li> </ul>	<ul style="list-style-type: none"> <li>- Life planning - career development*</li> <li>- assessment center</li> <li>- different selection criteria</li> <li>- leadership training</li> <li>- education: technical skills</li> <li>- sensitivity training</li> <li>- coaching and counseling</li> </ul>
- Interpersonal	<ul style="list-style-type: none"> <li>- Increased interaction and communication</li> </ul>	<ul style="list-style-type: none"> <li>- sensitivity training</li> </ul>
- Group culture	<ul style="list-style-type: none"> <li>- change the norms and values about work and how to behave in work settings</li> </ul>	<ul style="list-style-type: none"> <li>- Team Building*</li> <li>- Process Consultation*</li> </ul>

\* These techniques presented in more detail in Table 6 .

## TYPES OF INTERVENTIONS

- (a). Discrepancy. This intervention calls attention to a contradiction in action or attitudes. This kind of confrontation is useful for keeping the organization on a new course defined in Phase 4, rather than allowing it to shift unwittingly into old and less satisfactory behavior patterns, due to momentary pressures.
- (b). Theory. A second kind of intervention is where a confrontation draws on behavioral science concepts and theory to throw into bold relief the connection between underlying assumptions and present behavior. In addition, theory sometimes can be useful in predicting the consequences likely to follow from embarking on any specialized course of action.
- (c). Procedural. A critique of how various steps of effort in organization development activities may or may not aid problem solving.
- (d). Relationship. This kind of intervention focuses attention of participants on issues which arise between people as they work together. It is needed to reduce or to eliminate interpersonal frictions. With this focus of attention on personal feelings, particularly strong negative tensions which hinder coordinated effort, emotions can be examined and resolved.
- (e). Experimentation. Another intervention involves experimentation which permits testing and comparing two or more courses of action before a final decision is taken, particularly when the way to proceed has become institutionalized or tradition-bound.
- (f). Dilemma. A dilemma intervention, which aids in accurately identifying a choice point in managerial actions, often can help members re-examine outworn assumptions and search for alternatives other than those under consideration.
- (g). Perspective. Many times in the intensity of the effort applied in production settings, it seems almost inevitable that individuals or teams will lose their sense of direction. Thereafter, it is increasingly difficult to reestablish a course of action which can move the situation away from momentary problem-solving toward larger issues. A perspective intervention permits present actions to be evaluated by providing a background of broader historical orientation.
- (h). Organization Structure. It is possible to think of many organization development efforts which leave the very structure of the organization unevaluated and unexamined. Students of organization change are correct in pointing out that many causes of organizational effectiveness are not found in procedures or team effectiveness or even in the absence of performance goals. Rather, the fabric of the organization itself can prevent communication, decision making and the application of effort from being as effective as it might be under different organizational arrangements. An organizational intervention focuses on issues which confront the total organization membership or its various sub-components.
- (i). Cultural. A "cultural" intervention examines traditions, precedents and established practices which constitute properties of the organizational fabric itself. Challenging the appropriateness of organization culture is difficult, because it permeates actions in such a silent way. Yet, the great challenge is to bring organization culture under deliberate management. The intervention which lifts up culture for examination may indeed be one of the most critical of all.

THE INTERVENOR

D E

## AWARENESS:

Since the primary instrument of intervention is the self, we assume that much ongoing work needs to be done with the question; "who am I." Aside from a whole series of more general questions, what we offer here are some questions to be asked of the person working in large systems:

-How do I deal with:

- complexity
- power
- chaos
- ambiguity
- politics
- multiple demands
- role diffusion
- conflict
- coverttness
- overttness
- my own confusion

The list could be unending, but the above seem to be some control issues. Experiments need to be designed to help the learner come to understand her/his ability to assess themselves on a series of continua.



**A. Definition:** An intervention is any planned activity that stops or interrupts daily organizational functioning in order to change the way people perceive, think about and/or act in the system.

**B. Design Issues:** Choice points in the design of a specific intervention

1. Outcomes

- |                                      |   |  |
|--------------------------------------|---|--|
| a. to change awareness/understanding | } | in individuals,<br>groups, or<br>systems |
| b. to change behavior                |   |  |
| c. to develop skills                 |   |  |

2. Targets

- a. who is being intervened upon? (i.e., level, status in organization)
- b. what style of learner:
  - concrete (e.g., administration)
  - applied (e.g., engineer)
  - abstract (e.g., research)
  - reflective (e.g., personnel)
- c. individual/group/function/sub-system/system

3. Mode (methods of transferring concepts, technology, skill, etc)

- a. some combination of cognitive input, exercises, reflection, and application usually constitute most interventions.
- b. "Match notion" - major dilemma is to match modes with desired outcome and type of target
- c. tendency to force fit intervention vs. designing to "fit." demands of 1 and 2 above. i.e., the intervention is like an open system and must relate to its resource (targets) and environment (impact of outcomes on rest of system)

4. Settings

- a. on-site vs. off-site - affects the "specialness" and perhaps political image of change effort. Also concerns trade-offs in time, money, climate for work, etc.
- b. individual (1:1), group (peer, vertical, work), inter-group, and collections of boundary representatives or liaisons.

5. Linkage (how one intervention is connected to overall systems strategy); an intervention

- a. can help create a shared felt need (i.e. data collection, survey, analysis of work)
- b. can create shared sense of where we are going (i.e. core mission, goal-setting, priority management)
- c. can create/implement action steps toward same end.

C. Design issues particularly relevant to Complex Systems

1. Level of intervention

- a. Organizational: grass roots vs. top→down vs. combinations
- b. Personal (re. R. Harrison article) - probably need to consider new categories here to cover interventions at the system/world boundary which can confront individual values, careers, etc.

2. Education - Task dimension

"Traditional . . . . .	"Classroom" . . . . .	Task-oriented--
Training	for work group	change way work is done immediately

- a. In deciding where to be on this continuum, you make trade-offs around:

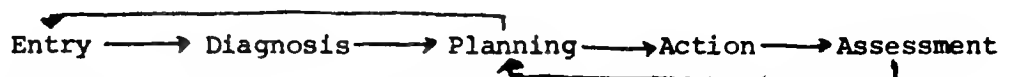
- time (High-----Low)
- money (High-----Low)
- dependancy upon intervener (High-----Low)
- learning (High-----Low)
- visable, immediate impact (High-----Low)

3. Selecting amongst interventions

- a. Argyris's standard criteria for choice have implications in complex systems:
  - valid data; there is never enough or complete data
  - internal commitment; needs to stem from agreement with demands of task or environment, rather than just individual client needs or desires
  - free choice; complex systems are increasingly mandated to make choices to change vs. freely deciding to change

4. Systematic planning of multiple interventions

- a. action-research notion



- b. in complex systems, need is for more work (by intervener) in up-front stages vs. Action phase (as in heavy time investment with staffs or teams)

IV  
C

### SOCIAL INTERVENTION

- I. In order to describe the application of psychology to social intervention, Deutsch and Hornstein (1975) have offered a two-dimensional matrix which includes forms of intervention, as one dimension - having research, orientation and social technology as its components, and type of relationship that exists between a behavioral scientist and a client system, as the other - having expert, collaborative and advocate relationships as its components.

A. The framework's shortcomings

1. Certain critical features of social systems such as the type of organization at which the intervention is being aimed, the organization's size and its predominant technology are neglected.
2. There is no consideration of whether existing concerns are located inside or outside the organization's boundaries, e.g. maintenance of the technical system versus legislative regulations.
3. There is no attention to potentially important differences in an interventionist's affiliation with an organization or with agencies which are external to it.

## II. Forms of Intervention

- A. Research - Applied behavioral scientists may need to collect more information in order to intelligently approach a large system change problem. Data collection may take different forms.

1. Basic problem oriented research - to develop new knowledge
2. Diagnostic research - to assess needs for remedial action
3. Evaluation research - to assess outcomes
4. Inventional research - to create new technology

B. Orientation: Orientation is a label that can be applied to interventions which attempt to bridge the gap between research knowledge and social action by first organizing and then disseminating substantive information relevant to social problems. Efforts of this kind presume that sufficient information already exists and further investigation is not a necessary prerequisite to diagnosis and policy formulation.

### C. Social Technology

1. Applied behavioral scientists often incorporate existing knowledge in

- a. their own behavior, e.g. process consultation
- b. the instruments of change that they create in order to facilitate large system change, e.g. responsibility charting

2. Principle approaches (Tichy and Hornstein in Human Relations and Academy of Management Review)

- a. External pressure - focus on factors outside target system, e.g. legal action
- b. Technology - focus on work flow and man-machine interface
- c. Structure - focus on formal system
- d. People - focus on individual behavior

### III. Relationship between change agent and client system

A. Expert - In this relationship a professional is identified as having special technical skills and abilities which enable him or her to analyze clients' problems and select appropriate solutions. Physicians, more traditional ones at any rate, are the quintessential example of this approach. Client collaboration in formulating a diagnosis or action plan is not fostered. An assumption underlying this approach is that social change results from valid data expertly collected and interpreted, and from expert advice given authoritatively.

B. Collaborative - A guiding principle is that individual commitment to change is created through participation in problem diagnosis, selection of priorities searching for potential solutions, and implementing the one that is jointly chosen. Motivation is developed in response to the social process that is used to arrive at solutions and not simply in response to the solution's technical adequacy.

C. Advocate - Unlike expert and collaborative interventionists, advocates rarely have a mutually agreed upon contractual relationship with a client system. Moreover, they are often trying to move a social system toward goals which it does not necessarily endorse. Advocates often act as if they believed that collaboration is not possible, valid data would be ignored, and change in individual organization behaviors is guided by self-interest.

## VI.

ORGANIZATION CLIMATE  
NATURE OF WORK CONDITIONS  
FOR HUMANS

## Interventions Around Managerial Dilemmas

- I The Dilemma in Managing Human Resources
  - A. On the one hand:
    - How to organize the tasks; the machine /person interfaces; the material flow; the communications patterns that the maximum available human energy (of the workforce) is channeled or aimed to meet organizational requirements objectively.
  - B. On the other hand:
    - How to so organize the tasks, communications, role relationships decision making patterns so that individual's needs for worth, achievement satisfaction and growth are significantly met at the work place.
- II History of Managing the Dilemma
  - A. From the beginning of Industrial Revolution to end of World War II, the focus was on A.
  - B. From World War II to mid sixties hence, the focus is on B.
  - C. Now increasing need for balance
- III Issues Today
  - A. Environment more complex
  - B. More possibilities of choices for employees
  - C. Changing values around work
  - D. Loss of "control" by managers - through loss of potency of rewards (money)
  - E. Increasing task - technology complexity
- IV This has led to many experiments , interventions and programs designed to:
  - A. Improve the social/technical interface
  - B. Improve working conditions
  - C. Improve the quality of the job
  - D. Improve the human condition at work
- V Examples of Intervention Theory and Strategy
  - A. Social technical intervention -(Cummings)
    - 1. Assumptions
      - a. an experimental condition
      - b. organizational climate - open systems
      - c. organizational members must actively engage in progress
  - B. Krone- Open systems redesign (Adams)
    - 1. concept of core mission
    - 2. core technological concept
      - a. who's aware
      - b. way change
      - c. factors in mapping
        - (1) internal environment
        - (2) external stresses
        - (3) product characteristics
        - (4) consumer demands
        - (5) social value shifts
        - (6) legal legislative demands
        - (7) competition
        - (8) surrounding community
  - C. Walton - concerning alienation
  - D. Gerstein
    - 1. a model for analysis of social system
      - a. task, job, work roles, relationships

## VI.B

ISSUESDILEMMAS

1. What we are looking for is an optimal balance and polarization. This leads to a well-developed sense of the balance which exists between:

Action and Reflection

2. Understanding connotes an understanding of dialectical process. In fact, to know in any real sense means the ability to stand under two opposing, bi-polar truths.
3. The sense of polarized truths--neither one of which cancels out the other, but rather, each enhancing an understanding of the other--is basic to understanding complex systems and further understanding one's self as a complex system.
4. "Schizmogogenesis" (Bateson's word) implies a kind of craziness which arises out of a uni-polar understanding of the world.
5. The following dilemmas are central to most work in complex systems:
  - Individual vs. System
  - Freedom vs. Responsibility
  - Autonomy vs. Conformity
  - Being Useful vs. Being Used
  - Political Skills vs. Mental Health Values
  - Client Resistance vs. Consultant Failure
  - Complexity vs. Simplicity
  - Power vs. Surrender

Ⓑ Models of Human Nature and Motivation

What:

- (1) Assumptions of human nature are reflected in organization structure and managerial behavior.
- (2) Models of human nature
  - Rational/Economic (Adam Smith/Skinner)
  - Social Man (Mayo-Rothlisburger--Likest)
  - Self-Actualizing (Maslow/Herzberg)
  - Complex Model (Vroom, Porter/Lawler)
- (3) Complex Model--Expectancy Theory

Readings:

Schein Organization Psychology Chapter 4

Lawler Motivation in Work Organizations

Brooks Cole, 1973



### C) Career Planning & Development.

In large systems, the management of career planning & development as a means of individual growth & satisfaction together with the objective of better resources for organization excellence, becomes a complicated management problem. Some elements that enlightens the complexity of the problem are:

- 1)- The amount of different tasks required in the organizations.
- 2)- The evolution of tasks due to external and internal requirements.
- 3)- The integration of large numbers of individual aspirations and organizational requirements.
- 4)- The delusion of priorities and dilemmas facing top management.

Career Planning and Development programs should include, among others, the following basic aspects:

- 1)- Top management involvement
- 2)- The importance of exposing the individual to different tasks within the organization as a means of providing continuous challenge, better understanding of roles, functions, and learning opportunities both in technical matters and self coping with change situations.
- 3)- Systems by which the individual can provide information within the organization to express his preferences and aspirations in terms of his own career pathing.
- 4)- The systems by which the organization provides information to individuals in regard to his performance, abilities, functioning, and organization expectations.
- 5)- The systems by which the organization maintains as a continuous process of development, information and career planning.
- 6)- Specific alternatives for training people, including special groups like:

- A) Rookies
- B) Top Management
- C) The Retiree
- D) The Expatriot

7)- Alternatives of group and tasks integration for development

- Interdisciplinary--Intersubsystems Task Forces
- Intersubsystems--Geographic Task Forces
- Intergeographic--Functional groups
- Temporary rotation
- Top-to bottom- to top sabbaticals.

8)- Alternative ways of providing challenging environments within the system.

- Clear definition of system and subsystems goals and objectives
- Valuing career path vs.--positions
- Rewarding individual development vs.--short term out put
- Special task-oriented training groups affiliation

④ Management & Leadership: Styles and Skills

A. Useful Distinctions

1. Management = Science, "Left Brain" more structured

Traditional tasks: Planning, organizing, controlling

Leadership = Art "Right Brain," more intuitive

Tasks: Scanning system  
 Articulative Mission  
 Defending org/institutional integrity  
 ordering internal conflict

2. Styles = Doing things appropriately and well

-Nobody ever has as much as they would like

-all can acquire more

B. Impact of Various Management Styles on complex orgs. (examples)

-communications

-carrying out decisions

-degree of influence

-shared risk

-what constitutes responsible use of power?

C. Perspectives: Who does what best?

-Fiedler & contingencies

-McClelland and power

D. Diagnostic Issues

1. "Fit" of Manager's style to stage of development

2. "Fit" to Nature of task

3. Cognition/Vision--seeing and monitoring system as a system in relation to environment and goals

Sources: Greiner (Stages)  
 Fiedler (Leadership Theory)  
 McClelland (Power Stuff)  
 Mintzberg-- "Planning on the Right, Managing on the left"





# BASEMENT Date Due

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Kalwani, Manoh/Sample size requirement

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Schmalensee, R/On the use of economic

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Zannetos, Zeno/Intelligent information

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Katz, Ralph. /Time and work : towards

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